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ABSTRACT

This monograph examines issues in faculty and departmental collaboration in colleges and universities, focusing on structures and environments that support collaboration and reward productivity and progress toward institutional and disciplinary goals. An introductory chapter outlines four key issues: how colleges and universities can develop a sense of "collective good" without sacrificing faculty autonomy; how the team concept can be applied in an academic setting; how individual faculty members can be evaluated within the context of the group; and how institutions can evaluate and reward collective productivity. Case studies are provided of collaborative efforts at five institutions including: several parallel initiatives concerning faculty scholarship and rewards at Kent State University (Ohio); implementation of Total Quality Management principles at the Rochester Institute of Technology (New York) College of Business; a program of the interdisciplinary Maxwell School of Citizenship and Public Affairs at Syracuse University (New York); reorganization of the College of Natural Resources at the University of California at Berkeley; and evolution of the Teaching Academy of outstanding teaching-award winners at the College of Letters & Sciences of the University of Wisconsin-Madison. Appended materials include statements from each school's program. (Contains 32 references.) (MSE)

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The COLLABORATIVE DEPARTMENT

How Five Campuses Are Inching Toward Cultures of Collective Responsibility

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The COLLABORATIVE DEPARTMENT

How Five Campuses Are Inching Toward Cultures of Collective Responsibility

by JON F. WERGIN

with a foreword by RUSSELL EDGERTON

American Association for Higher Education

THE AUTHOR

Jon Wergin is a professor of educational studies at Virginia Commonwealth University. During the 1992-93 academic year, he took a leave of absence from VCU to join AAHE as interim director of its new Forum on Faculty Roles & Rewards. While in this post, he was principally responsible for planning the Forum's first national conference, in San Antonio, and for developing the Forum's early lines of work, one of which ("collective responsibility") is the subject of this volume. He has written and consulted widely in the areas of professional education, organizational change, and program development and evaluation.

THE COLLABORATIVE DEPARTMENT: HOW FIVE CAMPUSES ARE INCHING TOWARD CULTURES OF COLLECTIVE RESPONSIBILITY
by Jon F. Wergin
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FOREWORD

In 1990, several universities set up task forces to reexamine various aspects of the faculty reward system — from the definitions of work that faculty are expected to perform to the ways that scholarly work is evaluated and rewarded. Soon, spurred on by escalating public demands for productivity and accountability, dozens of universities across the country had launched similar efforts.

To deepen and advance this reexamination, AAHE established the Forum on Faculty Roles & Rewards in 1992. The Forum sponsors a national conference each January that has become *the* meeting ground for universities working through issues of faculty culture and the reward system. From the outset, AAHE also recognized that campuses need not just a meeting ground but new resources — projects and publications that offer practical guidance about promising courses of action. The Forum identified for sustained attention several "lines of work," one of which focuses on academic departments and the new conversations springing up about team building, collective responsibility, and the value of providing incentives and rewards for *group* as well as individual effort (such as rewarding the teaching performance of entire departments as well as individuals).

This monograph is the first of a series of products the Forum will sponsor on new approaches to faculty work. We are deeply grateful to Jon Wergin for authoring it. Jon bravely agreed to scout the terrain without knowing whether he would find any developments worth touting. As it turned out, not a lot of progress has yet been made. But Jon's stories of promising beginnings in five different universities, and his overview of the issues these institutions are confronting, offer anyone contemplating a similar journey a very useful orientation to what might lie ahead.

AAHE's Forum on Faculty Roles & Rewards is supported by a generous grant from the Fund for the Improvement of Postsecondary Education. We gratefully acknowledge FIPSE's indispensable role in this entire undertaking.

Russell Edgerton
President, AAHE

PREFACE

At the first AAHE Conference on Faculty Roles & Rewards, in January 1993, some of the most intense and animated discussion centered on the idea that higher education needs to shift the focus of incentives, evaluation, and rewards from individual faculty members to departments or other academic units. The argument for the idea went like this: Our colleges and universities need to sharpen their priorities and focus their energies. But how can we do this as long as we continue to view academic departments as bands of individual entrepreneurs, pursuing professional self-interest, driven by discipline-imposed standards? Don't we need instead to begin treating departments and other academic units as self-directed *collectives* working cooperatively toward goals derived from a well-articulated institutional mission? Shouldn't an institution's performance incentives and rewards therefore focus on the departmental "team," and base faculty rewards on individual contributions to that team?

Donald Langenberg, chancellor of the University of Maryland system, had put forward these ideas several months before the conference in a *Chronicle of Higher Education* editorial (Langenberg, 1992). Even though there had been earlier writings on this topic by Chait (1988) and the Pew Higher Education Research Program (1991), the timing and intuitive appeal of Langenberg's piece made it a lightning rod for campus leaders looking for fresh approaches to an old but increasingly urgent problem. "Which campuses are doing this?" Forum participants wanted to know, "Where are the models?"

After the conference was over, I undertook to find out. Surely, I thought, collective responsibility was an idea so compelling to so many that it must have been translated into formal practice somewhere, at least in a preliminary way. But this turned out to be an ingenuous assumption. While the idea did resonate with university administrators looking for meaningful ways to increase productivity and cut spending, I found the gulf between the abstraction and the reality to be distressingly wide. Several large institutions were nibbling around the edges of the issue, by initiating teaching awards at the departmental level (Wergin, 1993) or by setting forth guidelines for departmental mission statements and accountability standards, for example. While positive steps, these changes struck me as more marginal than fundamental. I found the closest approximation to a true system of group incentives and rewards in a handful of schools flirting with some version of total quality management (one of these, Rochester Institute of Technology, is profiled later in this monograph). But even in such cases, the changes as yet are largely organizational, and the procedures for defining group accountability in operational terms have yet to be worked out.

And so I fell back to a more modest goal: to study several well-respected universities that seem to be inching toward cultures of greater collective responsibility and to see what might be learned from their experiences. The institutions profiled here — Kent State University, Rochester Institute of Technology, Syracuse University, the University of California at Berkeley, and the University of Wisconsin at Madison — are not necessarily the five that have come the closest to adopting cultures of collective responsibility. (At least one of them, in fact, is far from this "goal" and might even disavow it publicly.) All, however, are moving — consciously or not — in that direction. And since the five institutions are very different places with very different institutional missions and cultures, their experiences offer some important lessons and raise some critical questions: Just what does "collective responsibility" mean? Why would we want to move in that direction? How might our lives be different? How can collective responsibility be encouraged? Who will object, and why? What other political and practical issues need to be resolved?

These are questions I take up in an integrative essay that begins this monograph. I've tried to pull together common lessons from the five institutional cases, in particular, what central issues we need to address if "collective responsibility" is ever to amount to anything more than an attractive but abstract idea.

The essay is followed by the five cases themselves, in alphabetical order. I wrote each case during the summer of 1993, based on campus documents and telephone interviews and updated with new information through December 1993. Thus, each case is a snapshot of the institution as of Fall 1993; snapshots taken in later months might lead to different stories.

Finally, I should note that in none of the institutions profiled here has the idea of shifting evaluation and reward from individual to group been the driving force for change; all have grappled with more basic issues first — revising missions and organizational structures, redefining scholarship and faculty work — and have come to explore various forms of collective responsibility as potential solutions to those basic problems. The emphasis on institutional problem solving reflected in the cases thus complements the mostly editorial, prescriptive writing on collective responsibility already in the literature — the "this is a good idea and you should try it" kind of article. With these cases, academic leaders should be able to assess for *themselves* how the experiences described might apply to their own universities, and to assess as well the conditions under which collective responsibility is likely first to take root and then to grow. ☐

ACKNOWLEDGMENTS

In May 1993, a small group of administrators, faculty members, and higher education scholars came together in Washington, D.C., to consider whether or not AAHE should pursue the idea of collective responsibility, and if so, how. The group included Bill Destler, Bob Diamond, Russ Edgerton, Odus Elliott, Myron Henry, Alan Knox, Clara Lovett, Ernest Lynton, Bill Massy, Ted Marchese, Joanna Scott, Uri Treisman, and Jim Votruba. Their ideas framed this study, foresaw many of the issues later uncovered in the cases, and provided many of the perspectives I've adopted here as my own. I hope that I have represented their perspectives fairly.

I also would like to thank the faculty and staff at each of the profiled universities, both named and unnamed, for their cooperation, generosity, and candor.

Finally, I am indebted to Carol Colbeck, Margaret Miller, and Barbara Davis for their detailed and thoughtful critiques of earlier versions of this work. □

WHAT THE CASES SUGGEST

Campus leaders at such major institutions as Kent State University, Rochester Institute of Technology, Syracuse University, the University of California at Berkeley, and the University of Wisconsin at Madison have realized that problems of financial stress — and political pressure to increase "productivity" — are chronic and increasing. They also have realized that responding to these problems will require new solutions. They have long since tried and exhausted the usual stopgap measures, such as freezing salaries and postponing maintenance. They have experimented with, and often been disappointed by, various "downsizing" approaches that employ surgical metaphors to "cut" or "excise" weak programs. After working through such options, campus leaders have come to a common insight: Their institutions' long-term health ultimately will depend on how well they are able to focus their missions, define what makes them unique, and rally their faculties around a shorter and sharper list of goals. Focusing the mission requires focusing the work; focusing the work requires members of academic units to decide *together* how best to invest their time and energy; and this in turn requires unit members to negotiate how the *group* will be held accountable for the results of its labors. Thus, through the back door creeps collective responsibility as a central idea for transforming the work we do.

The five cases portrayed in these pages also suggest, however, that this transformation will make us confront some difficult questions. Four issues have emerged as most vexing to the profiled institutions: balancing group, or "corporate," interests with individual interests; developing academic communities as "teams"; redefining evaluation of individual faculty members; and evaluating and rewarding group productivity. In the following pages, I take up these issues one at a time, reflect on what the cases tell us about the issue, pull in thinking from other sources, and suggest some next steps.

FOUR KEY ISSUES

How can colleges and universities develop a sense of the "collective good" without sacrificing faculty autonomy?

This issue is the most obvious one, and likely will be the most discussed. On the surface at least, the values of the collective and the individual are contradictory. Enforcing group priorities will reduce individual options, and almost surely would compromise individual faculty autonomy, which even our most scornful critics would concede has helped to build the strongest higher education system in history. The dangerous consequence, skeptics of collective responsibility will argue, is that faculty no longer will have the freedom to experiment, to follow their own leads, and to engage in inquiry that tests traditional assumptions.

One response to this argument might be that the ideal of the faculty member as an autonomous scholar never existed anyway.

One response to this argument might be that the ideal of the faculty member as an autonomous scholar never existed anyway. More than seventy-five years ago, Veblen (1918, quoted in Skolnik, 1989) wrote: "[American universities encourage] publications largely for the sake of institutional prestige, rewarding mediocrity as often as merit, and exerting enormous pressure on dissident faculty to conform" (p. 620). The standards of academic excellence that all faculty must meet, already narrow in most disciplines, are getting narrower yet. Most untenured assistant professors probably would not use the term "autonomous" to describe their professional lives. Even more telling, control over faculty scholarship, particularly in the health and natural sciences, has shifted to groups outside the academy (Alpert, 1992). Decisions about faculty research priorities are now widely dispersed among funding agencies, regulatory agencies, and even the general public (Anderson and Louis, 1991).

But myths endure, and symbolism counts. One of the values held by university faculty members that most distinguish them from other professionals is individual professional autonomy (Clark, 1983). It's a principal reason why people become faculty members in the first place; debunking autonomy as an unrealized ideal won't change established aspirations.

Then what will? The cases offer some clues. Together, they point to a simple but powerful idea — that developing a sense of the collective good means that the academic community will need not only to shift faculty priorities, we also will need to redefine faculty work. At Kent State, faculty work has been redefined through a visible, university-wide initiative to broaden the dimensions of scholarship. At Syracuse, redefinitions have occurred more indirectly, through departmental discussions about options for meeting departmental/school/university priorities. While often contentious, discussions at these two institutions have had a desirable and often surprising outcome: namely, *expansion* rather than *restriction* of professional options available to the faculty. Redefinition of work came first, reorganization of work came second. At RIT, in contrast, redefinition and reorganization occurred concurrently, maybe even in reverse. Despite the remarkable progress RIT has made in adapting total quality management for academic settings and in developing a corporate purpose, there are rumblings there about the wisdom of turning the organization upside down so quickly. The risk is one of the campus community perceiving TQM (or any other reorganizational paradigm) as an exercise in crypto-management.

If departments define themselves in ways that contribute to the mission of the institution, and if faculty define how they can contribute to the mission of the department, the potential exists for connections that can revitalize senior faculty careers and energize new ones. Note the connection between individual and departmental interests implied in this reminiscence by Frederick Rudolph:

> *One way to impart more joy to a teacher's life as a teacher is to allow him to give full range to his imagination and inventiveness. I will always be grateful to the department chairman who, even before I received my Ph.D., came into my office one day and said, "We need another course next year. You know what we are doing now. Think something up and let me know what you want to do." That invitation at the beginning of my teaching career launched me into a course outside my area of expertise (1980, p. 21).*

And so the values of collective responsibility and faculty autonomy do not have to be mutually exclusive; they even can be mutually reinforcing. The most perilous course is to deny this, as Harold Perkin points out in his prescient essay "Defining the True Function of the University: A Question of Freedom Versus Control":

> *The university faces the classic dilemma between freedom and starvation, and may well be tempted to say, with Patrick Henry, "Give me liberty or give me death." It may not be so fortunate in the answer as Patrick Henry (1984, p. 21).*

How can the "team" concept be applied in an academic setting? Won't the dominant culture continue to reward individual stars?

While the "autonomy/common good" issue likely will dominate early discourse about collective responsibility at the university, the "team" issue will, I think, prove to be the most problematic in the long run. The logic goes like this: If academic units are to define themselves as collectives, and if they agree to be held accountable as collectives, then the unit as a whole must accept responsibility for what it does and for the impact it has. The only way for this to happen is for departments to function as teams in which there is both individual and *mutual* accountability.

Do teams make sense in an academic setting? The frustrating answer is that they do and they don't.

The best way to define what makes teams unique is to distinguish them from other working groups (Katzenbach and Smith, 1993). Working groups — committees, councils, task forces — are of course common in higher education. At their best, working groups share information and insights, make informed recommendations or decisions, and give group members useful feedback. But teams are more than this. "A team is a small number of people with complementary skills who are committed to a common purpose, set of performance goals, and approach for which they hold themselves mutually accountable" (p. 112). The usual hallmark of effective faculty meetings is efficiency: getting the business done so that people can get on with their work. Meetings are seen as a necessary evil. Teams, on the other hand, spend a great deal of time together, shaping their purpose, defining their goals, exploring how individuals might best contribute to the group *gestalt*. It's like the difference between two forms of "team teaching": in one, participating faculty simply carve up the course into individual chunks; in the other, faculty work together in synergy.

Even though conventional working groups dominate the academic landscape, real faculty teams can be found there too, most commonly as research teams in the sciences and engineering. Such teams exhibit both individual and mutual accountability; they have a specific team purpose that the team itself delivers; they do real work together; they produce collective work products. What these groups probably lack as teams are truly shared leadership roles. More commonly, established senior investigators get the grants and run the show (which, by the way, limits the autonomy of young faculty members, who find it difficult to crack the circle and to develop their *own* lines of inquiry). Still, in many academic departments today, it is hard to imagine science that is not in some way team based.

But can entire *departments* (or other academic units) be run as teams? Some aspects of teams do seem to fit the academic culture.

First, just as "professional autonomy" is a myth in many ways, so is another treasured value, the notion of the university as a "collegium of scholars." This is probably the image jettisoned earliest by young faculty as they realize what they will have to do to gain promotion and tenure. Collegiality and teamwork give way to fragmentation and competition, and, for many faculty, this is how they spend their careers. Robert Bellah and his colleagues (1985) have written about the "culture of separation" in our society; Parker Palmer (Edgerton, 1992) has described the "pain of disconnection" in the modern university — that sense of being detached from the intellectual vocation and the passion that originally animated it; Uri Treisman (personal communication, 1993) has described a recent survey in which fully one

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third of all mathematics faculty felt disengaged from their academic work, unable to identify how they could contribute meaningfully to their discipline. A longing for a more nurturing academic community certainly could be satisfied by a work environment in which faculty members felt themselves to be parts of an organic disciplinary whole; there is some evidence that this has in fact occurred in the team-based School of Business at RIT. In all five of the cases described in this monograph, the idea of "differential faculty workloads" was generally well received by the faculty, in principle. Faculty fears that certain roles such as teaching, service, and advising would automatically lead to differential *rewards* have kept the idea from being more fully embraced in practice. But such differentiation is precisely what the collective accountability of teams is designed to avoid.

Alignment suggests that structures can be created that satisfy not only organizational but also *personal and professional goals.*

Second, the concept of "alignment," as put forth by organizational guru Peter Senge and others, offers a way to purge the image that teams destroy individual autonomy and the opportunity to pursue individual goals, and that they will create, in effect, the Organization Man of the Nineties. Alignment — like a jazz ensemble in which the players have a sixth sense of where the improvisation is going — suggests that structures can be created that satisfy not only organizational but also *personal and professional goals* (Kowinski, 1987).

The first step is to embed individual aspirations (purposes, values, personal visions) into the unit's goals and, in doing so, to build a shared commitment. The second step is to develop a shared understanding of strategies and tactics that will allow the unit to accomplish its goals. Other ingredients include personal vision by leaders, a commitment to breaking down organizational hierarchies, and a commitment to the personal development of group members. Alignment also requires disagreement and argument, as different perspectives are necessary for the success of the whole. None of this seems totally foreign to academic cultures; in fact, these practices could be easier to implement in higher education than in business and industry.

But these are abstract advantages. The list of ways in which teamwork is *problematic in academic settings* is, unfortunately, longer.

First, not only are working groups far more characteristic of departmental dynamics than are teams, working groups also are less risky, less disruptive, and more comfortable.

Second, the work of the academy as it is currently organized does not allow for a clear translation from "department" to "team." Academic departments have diffuse purposes; they vary widely in the interdependence of their members; they usually do not have clear tasks that all members share (Colbeck, 1993). Their focus is on individual work, not team "products." Many departments are also far too large to work as a single team. All this suggests that if departments are to work as teams, they first must be dismantled, as RIT has done. Indeed, the proliferation of institutes and centers on most university campuses would affirm that academic departments are often dysfunctional.

Third, the entire concept of teams could be undermined by a system that rewards star achievers with differential advancement, mobility, prestige, and salary. Massy (1993) has suggested that departments might work more like football teams, where both roles *and* rewards are strongly differentiated, and yet the team is able to function effectively as a unit. But the university is not the NFL, and it is hard to imagine college faculty gaining fulfillment as the offensive tackles of their departments — unless, of course, the criteria for becoming a "star" shift and broaden significantly.

Fourth, all of the available literature on teams points to the importance of leadership and other organizational supports for effective teamwork to occur. Some of the important behaviors of team leaders, such as "clear, engaging direction" (Hackman, 1990), in which the leader takes pains to enunciate the "end points" but leaves the means and strategies to team members, seem consistent with the roles of most department chairs. Other behaviors will be more foreign, such as teaching and coaching the group; negotiating individual versus group priorities; attending to the personal and professional development of the faculty; and clarifying directions of departmental teams rather than serving only as an advocate for disciplinary interests. A department chair's job already is seen by many as difficult, ambiguous, and thankless (Lucas, 1993); won't these new responsibilities increase the stress? Do we need to think of new *kinds* of department chairs? How will they be prepared and trained for their new roles?

Fifth, as Senge and others stress repeatedly, team development is long-term. Implementation is difficult; the time investment is great; positive returns may be slow in coming. What will be the incentive for sticking with it? An external crisis can galvanize effort, but such effects are almost always ephemeral. Once the immediate crisis has passed, the pressure will be great to return to the old ways, unless the conditions for "alignment" referred to earlier already have been created. The cases are instructive here: The incentive to form teams need not be as dramatic as a threat to organizational survival, as in the School of Business at RIT; faculty members can and do come together fairly readily on areas of common concern. There were several examples — at Berkeley, Kent State, and Syracuse — of how departments first took on undergraduate curricular reform as an area of shared concern, and used these early successes to nurture a stronger sense of departmental "corporateness" for the more difficult battles to come — setting research priorities, for example. The problem is that teamwork is a time-intensive activity, and the time and effort spent on team meetings demand that faculty give up activities more commonly associated with academic life. At RIT, some faculty already have started to question the wisdom of these new priorities.

Sixth and finally, the changes not only must be long-term, they must be systemic. Departments will have little incentive to make radical changes in their organizational processes if the dominant perception is that the rest of the university — or the discipline itself, for that matter — continues to reward the status quo. There is ample evidence in the cases that the further departments ventured toward the fringes, the more nervous faculty became about negative consequences. Change must occur through whatever levels of the institution are perceived as having an impact on individual faculty lives; the cases suggest that while the change need not be institution wide, it certainly has to affect an entire school. Orchestrating these changes, given the diversity of missions and cultures, is not only a long-term proposition, it is also exceedingly complex and difficult.

All this suggests that university leaders will need to develop methods of organizing faculty work that make sense in an academic context: taking existing working groups, for example, and turning them gradually into genuine communities of interest. Coordinating these evolving communities in ways that relate to larger institutional purposes will, sooner or later, result in some fundamental questions about the organization of academic disciplines. These questions already are being raised by the disciplinary and professional societies themselves (Adam and Roberts, 1993).

How can individual faculty members be evaluated within the context of the group?

Being able to define, document, and evaluate individual performance is important even in a team setting. Even though the public may hold groups — and not individuals — accountable for contributing to the public good (Langenberg, 1992), academic units are not hired and fired, promoted and tenured. As I noted earlier, a team cannot function effectively without promoting the individual development of its members. And so the issue is not purely one of shifting the focus of evaluation from the individual to the unit; it is also one of changing how ***individual faculty members themselves*** are evaluated. To accomplish this, three difficult steps will be necessary: (1) make faculty evaluation standards congruent with institutional mission, not only in rhetoric but in practice; (2) develop differential roles and expectations for departmental faculty; and (3) construct evaluation tools that will measure individual faculty contributions more adequately.

Academic departments in the five case institutions have begun to wrestle with differential faculty assignments, at least at the policy level.

Evaluation standards have always reflected institutional values and aspirations — that is, the values and aspirations *in use*. One of the strongest arguments mounted by those who seek reform of faculty rewards has been that institutional rhetoric does not conform to institutional practice: What universities advertise to the public is not what they reward their faculty for doing. Fairweather's (1993) research on those factors most predictive of faculty salary provides empirical evidence to support this widely held belief. The incongruence between rhetoric and rewards led to the creation of the Focus on Teaching project at Syracuse, and it served as a catalyst in the other case institutions, as well, by prompting a broadened definition of scholarship at Kent State, departmental rewards for educational excellence at California-Berkeley, new policies for recognizing and rewarding teaching at Wisconsin-Madison, and a focus on curricular coherence as part of continuous quality improvement at RIT. Shifting standards without also shifting practice not only will continue to give the faculty mixed messages, it also will increase faculty cynicism about what is really valued at their institution.

We also must be careful not to compound this incongruence by holding all faculty members within an academic unit to a single standard. As Braskamp and Ory (1994) have pointed out, having standards does not mean standardization. Colleges and universities around the country have picked up this theme. The University of California Task Force on Faculty Rewards (Pister, 1991), for example, stressed the need to accommodate individual faculty "career paths," which not only differ from one faculty member to another but also may change over time. Additional support for differential faculty assignments comes from the learned societies. In a report on redefining the work of history faculty, for example, the American Historical Association says this: "A central question that every department should address is whether . . . there is room for individuals to weight the categories of work differently, as long as the department overall achieves a balance consistent with its mission" (Adam and Roberts, 1993, p. 29).

How do academic departments do this? Here again is an idea that may make sense in the abstract but could prove to be maddeningly difficult to implement.

Key to the changes will be whether faculty in academic units are able to successfully negotiate both differential roles *and* methods of differential assessment. Academic departments in the five case institutions have begun to wrestle with differential faculty assignments, at least at the policy level, but with only modest success, principally because faculty don't want to be guinea pigs in an organizational experiment. They worry that only the "roles" part of the equation will change and that the "rewards" part will not. The experience reported at Kent State, where faculty were unwilling to undertake differential assignments until they were convinced that the reward system had changed, is hardly unique.

An organizational setting that rewards differential staffing in visible and tangible ways is critical. But instrumental changes are also necessary. These instruments will likely take the form of individual faculty work agreements, negotiated annually with the chair of the unit. Whether called a "performance contract," a "faculty prospectus," or a "growth contract," the basics are these: Faculty annually prepare a statement expressing their professional goals, how the accomplishment of these goals will contribute to the mission of the unit, how they propose their work be evaluated, and how this process provides a context for their self-development. Variations depend on the culture of the unit. One format is for faculty to indicate how they intend to allocate their time among the major work categories of teaching, scholarship (as defined by their discipline and department), and professional service, and subcategories thereof, and how evidence regarding the quality, influence, and impact of their work in each of these areas would be collected during the year. At the end of the year, the agreement becomes both the basis for the faculty member's self-assessment and the organizer for his or her own professional portfolio (Braskamp and Ory, 1994).

This sort of information provides faculty members with a basis for negotiation with the unit chair and other faculty, using unit and institutional mission and faculty career stage as meta-criteria. For example, there may be a standing departmental policy (similar to the one used in the economics department at Syracuse) that 50 percent of the collective effort should go toward accomplishment of the institution's educational mission; and that all departmental faculty, regardless of teaching load, should devote at least 20 percent of their effort to scholarly activity. There also may be special policies pertaining to pre-tenure faculty, specifying that their teaching loads should average one fewer course per semester, and that at least 10 percent of their time should be spent on developing themselves as teachers. Making allowances for young faculty is critical to the success of such a system and to the ultimate vitality of the unit, as professional habits and values are set during this time. It is also the time to reinforce the interdependence of faculty members, and to build community.

Negotiating decision rules for rewarding individual faculty is critically important, as this is where discrepancies between institutional rhetoric and practice are most strongly felt. For example, Massy (1993) has proposed an "X-Y-Z" salary system, where X is the base salary, which is market driven; Y is a one-time *group* increment based on departmental performance; and Z is a one-time increment based on *individual* performance. This may seem like a perfectly reasonable way to think about combining individual and group rewards, but in practice it could be seen as — and used as — just another variant of the "star system," in which individual achievement is what really counts.

One more comment is appropriate here about how standards must shift when evaluating individuals within a group context. Evaluation theorist Michael Scriven (1991) has suggested that whenever we judge something, we make an implicit distinction between two forms of value: "merit" (intrinsic value) and "worth" (context-dependent value). Traditionally, standards for the evaluation of faculty have been based on merit: how research productivity, teaching excellence, or grantspersonship stack up as independent accomplishments. As assessment becomes more group focused, however, institutions will need to develop standards more appropriate to judging worth — that is, standards to assess not only the inherent quality of faculty contributions but also the worth of these contributions to the mission of the department and the institution.

How can institutions evaluate and reward collective productivity?

Langenberg (1992) has written that one reason for moving to a system of collective responsibility is that institutions already are evaluated that way by the public. This was not always so. Universities traditionally have been accountable to their political constituencies in ways that are *very different* from how they have been accountable to their professional communities (House, 1993). State and local (i.e., governing board) authority has been concerned mostly with the efficient use of resources and (at the local level) personnel appointments, and has interfered little in internal academic processes; such processes have been the province of the institution's professional communities, governed more by culture than by regulation. Student outcomes assessment is one result of the gradual blurring of this demarkation. State agencies and governing boards, as agents of the consumer public at large, have let it be known that defining academic quality does not belong solely in the hands of academics: While liberal learning may be hard to define and assess, for example, it can't really be as mystical as the academics claim it is. By all accounts, the external demands for academic accountability will not diminish over the next decade, but rather will become more intense.

And so the assertion that higher education should move to a system of collective responsibility because the public already views us that way is true; but it is also problematic, as our political constituencies and our professional communities use different discourse when talking about "quality." Our constituencies are interested in evidence relating to learning outcomes and educational value for the money; our professional communities, on the other hand, traditionally have taken what Seymour (1992) has called the "transcendent" view, namely that quality (e.g., the "quality of liberal learning") is something ineffable that only academic professionals can recognize and evaluate. And thus the basic question, as House (1993) has phrased it, is this: "What kind of information will preserve the disciplinary and teaching processes that produce knowledge for faculty and students, while at the same time providing necessary information to the state and public?" (p. 61).

One reason for moving to a system of collective responsibility is that institutions already are evaluated that way by the public.

One might expect to find some help by looking at the well-established systems of academic program review in place at most universities. These review procedures, some of which have been in place for more than twenty years, generally are based on a balance among departmental self-studies, institutional criteria, and external review teams. Such systems would appear to offer useful perspectives for documenting and evaluating unit productivity. And indeed they do, at least in the technical areas of data collection and analysis. Detailed procedures for carrying out program reviews are readily available, as are detailed forms for collecting and organizing evidence (AAC&U, 1992).

But current methods of academic program review have severe limitations when applied to the routine evaluation of departments or other academic units.

First, such reviews are extremely costly, and the workload imposed by these comprehensive evaluations is burdensome. This holds true even in places such as Illinois at Urbana-Champaign, which now uses a two-step process consisting of a truncated self-study followed, only in special cases, by a more detailed internal review (Gonzo, 1991). Even then, systems of academic program review offer little insight as to what might be feasible on an annual or biennial basis.

Second, internal program reviews have been designed primarily for *formative* (program improvement) purposes, rather than for *summative* (resource allocation) purposes. While such reviews may lead to useful negotiations between departments and the administration about what departments need to do to improve, they rarely have become an instrumental part of planning and budgeting (Richard Wilson, personal communication, 1993). In part, the reason is the perceived "one-time" nature of the process: In many departments, the review is treated almost like a miniature accreditation study — something to be planned, gotten through, and then forgotten. Ewell (1993) cites the lack of attention to acting on data as one of the biggest failures of program review: "People feel good about the process for a while, but soon cease to invest their time when it fails to deliver" (p. 55).

Third, and perhaps most serious, is that both internal and external approaches to program review miss the mark in critical ways. Internal reviews, like self-studies, continue to follow the transcendent approach to defining quality. Assessment criteria are defined only ad hoc, not by negotiated standards or values. State- or system-wide guidelines, on the other hand, tend to neglect quality definitions altogether, focusing instead on inputs, outputs, and cost-effectiveness ratios. Consider as an example the 1992 "Guidelines for Productivity Improvements in Illinois Higher Education," a 21-page document proposing that all "individual instructional units" be evaluated on the basis of "capacity, quality, and cost." Of the three general criteria, "quality" merits a one-paragraph discussion and is never defined. The focus instead is on indices such as demand, student-faculty ratios, graduate placement rates, and cost of instruction. Given that the guidelines are meant to inform decisions about how to eliminate "low-quality and low-priority programs and activities, in order to redirect [state] resources to higher priorities," one has to wonder whether academic programs will be driven to measure their "productivity" based strictly on these criteria, ignoring core processes such as the quality of teaching and learning (Dwight Smith, personal communication, 1993).

A recent publication from the Association of American Colleges and Universities goes a long way toward filling this gap. Suggesting that the principal goal of a program review should be to "increase the self-consciousness of faculty members and administrators about their educational practices so they can improve the quality of teaching and learning" (AAC&U, 1992, p. 1), the document presents a host of criteria that can be applied to curricular and pedagogical issues at the undergraduate level: the quality of curricular goals, structure, connections with other fields and with practice, teaching, advising, institutional support, diversity/inclusiveness, and outcomes assessment.

What is needed is an approach to program evaluation that is able to pull these disparate elements together, an approach that is more congruent with the kinds of decisions that will face academic leaders who wish to promote collective responsibility. The ideal approach would be to evaluate departments and other academic units in ways that are not too costly or time-consuming, that respect the diversity of disciplinary missions and cultures, and that promote departmental self-reflection, all while rewarding collective accomplishments appropriate to larger school and institutional missions. That's a tall order, and even institutions that have undertaken significant restructuring (such as RIT) have found it difficult to take this key step. What is the appropriate balance between diversity and standardization? How can departments that contribute very different qualities to a school or college be subjected to a common set of metrics without compromising their individual contributions? The issues are in many ways the same as those facing a department chair worrying about how to evaluate individual faculty members who have differentiated roles. And while the cases give us answers that are far from clear, there are surely some givens:

One is that the mission for the unit (school and department) must be specific, and it must communicate what makes the unit distinctive. It is hard to imagine how a framework for decision making could be created, and organizational energy to make tough decisions would be marshalled, without a unifying focus.

Another is that the climate set for evaluation is critical. Accountability is important, but not the sort of "accountability for results" that stifles creativity and punishes risk taking. More appropriate and constructive is "accountability for evaluation" — an institutional mandate to continually define priorities and assess performance in light of the institution's mission.

A third given is that the responsibility for evaluation must be decentralized. Each academic unit must define for itself how it will meet the institution's larger mission, including defining the criteria, evidence, and standards by which the unit's performance will be assessed. The cases indicate that these definitions will vary significantly from discipline to discipline, and that these differences are not only expected but desirable, for assessment will work only when it is couched in terms that are meaningful to the unit. Implications of this point include greater unit responsibility for the use of evaluation data, a shift away from ad hoc evaluations toward more consistent internal monitoring, and greater flexibility for the development and testing of alternative program strategies. Another implication is that decision makers will need to define their roles in sociopolitical terms — as negotiators, reality shapers, and mediators (Guba and Lincoln, 1989). They not only will need to define and operationalize the "common good," they also will need to negotiate criteria, evidence, and standards that are acceptable to individual units and that are fair and coherent as a whole.

Each academic unit must define for itself how it will meet the institution's larger mission.

The tools available to help us sort through these complexities are still in their infancy. Lynton (1993) provides useful structure by suggesting how the collective responsibilities of an academic unit might be defined in operational terms. First he suggests two categories: (1) "generic responsibilities" that are shared by all units, such as advising and contributions to governance and administration; and (2) "specific responsibilities" that are particular to each academic unit, such as instruction, research, and professional service. Each of the specific responsibilities is subdivided further. "Instruction," for example, includes undergraduate and graduate degree programs, service and general-education courses, interdisciplinary programs, and student projects and theses. Second, Lynton suggests that each unit could specify the effort it will devote to each element, using an agreed-upon set of variables. For example, a department could express its contribution to service courses in terms of the number and types of courses and the total faculty FTEs devoted to them. The third and most difficult step, according to Lynton, is to define the criteria and performance measures appropriate to each work element. While quantitative measures, such as numbers of majors, retention rates, and repeat enrollment, certainly are pertinent, more qualitative indices, such as "impact of professional service" undertaken by the unit, also will be needed to keep the process from becoming too mechanistic.[1]

A slightly different model is to keep the criteria more general but to link them with an array of indicators negotiated by the particular unit. Some of these variables would be transdepartmental, others would be unique to the unit. The approach is similar to the one used by Wisconsin-Madison's College of Letters & Science. Even though Wisconsin used it to accomplish one-time downsizing goals, the process seems adaptable for more routine, annual reviews of collective performance. First, broad criteria are identified (in Wisconsin's case, "quality, need, and efficiency") and are given conceptual definitions that relate directly to the mission of the college/university. Each criterion is considered multidimensional and is linked to an array of indicators in the form of a matrix. This basic structure, common to all departments, is complemented by each unit's own, more qualitative, portrayal of its accomplishments.

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[1] Ways of developing monitoring systems that include qualitative data and that focus more heavily on the core processes of teaching and learning can be found in the cases reported by Banta (1993).

There is no way to eliminate the subjective from all of this. Any set of decision rules must allow for special circumstances, unanticipated events, and reasoned judgment. It is easy to ridicule transcendent perspectives of quality as being narcissistic and unhelpful; and yet, studies of professional expertise have shown repeatedly that there is something truly transcendent about the skills of highly accomplished professionals (Harris, 1993). The decisions facing an administrator who has to respond to a mix of academic, economic, and political interests are too complex for even the most sophisticated algorithm. And so when a seasoned dean such as John Palmer, at Syracuse, says that he doles out discretionary funds to his departments based at least partly on his *sense* of how well they are contributing to the mission of the school, his judgment is accepted as reasonable, as long as the criteria are clear and the process is open.

IS COLLECTIVE RESPONSIBILITY THE SOLUTION? FIVE POINTS TO KEEP IN MIND

Each of the four main issues addressed above presupposes that infusing more collective responsibility into our academic cultures is the right thing to do. While the time may be right for a fundamental shift in how we define, organize, and evaluate the work we do, is a focus on the collective responsibilities of academic units the answer, or part of the answer? Will the ideas grouped under the term "collective responsibility" become part of how universities in this country change to meet new needs, or will they instead prove to be as evanescent as higher education's version of quality circles and management-by-objectives?

A stronger emphasis on collective accountability seems inevitable. As the public demands more corporate responsibility from institutions of higher education, as well as a greater degree of public citizenship in their teaching, research, and service missions, pressure will mount on academic departments to develop a greater collective ethos as well, including a stronger sense of how individual faculty members might contribute their talents and interests to the goals of the group. The issue, therefore, it seems to me, is not whether the academy will become more "collectively responsible";

it is whether the academy will be able to do this in ways that will allow it not only to survive but to thrive.

That question in mind, here are five points to consider as these ideas begin to take shape:

- "Collective responsibility" and related buzzwords such as "continuous quality improvement" and "organizational learning" are by themselves empty concepts. They gain meaning only within the context of substantive issues such as institutional vision, the expression of academic values, and the meaning of faculty work. Sometimes it seems as if we envision the university to be a giant Skinner Box, where just by manipulating the incentives and rewards, either positive or negative, we can get faculty to push the "levers" of greater productivity and a more meaningful work life. The five institutions profiled in this monograph certainly don't work that way, and I suspect that not many others do, either.
- "Collective responsibility" has only instrumental value. What academic leaders need to ask are questions such as the following: How does the way we structure, evaluate, and reward our work allow us to respond to emerging epistemologies and new social realities? Do the criteria we use to evaluate our work only reinforce narrow thinking and obsolete ideas? (How, for example, has the use of "student credit-hour" as a nearly universal output measure hampered our thinking about more useful and valid measures of student learning?) How can shifting accountability from the individual to the group help us to document and communicate more clearly what we value the most?
- Academic units need to maintain strong and meaningful "communities of interest," even as these communities shift. Nothing will doom a departmental faculty's commitment to collective responsibility faster than the lack of a common purpose. Faculty members must find intellectual sustenance from their group, a sense that together they are working on intellectually and educationally significant problems. Otherwise the "collective" will cease to exist once immediate external crises pass. Academic communities need to liberate themselves from "program reviews" as ritualistic exercises, and identify instead assessment issues that have real meaning, not just to their external constituencies, but to them.
- Academic leaders need to build in ways to keep people energized and to identify new opportunities to contribute. One of the catalytic effects of more-corporate thinking in some of the departments profiled in these cases was that a shift to new internal priorities (and more flexible faculty roles) led to a revitalization of some senior faculty members. But this could have been nothing more than

a Hawthorne effect (i.e., a response to novelty and attention) without any real staying power. There is nothing about collective responsibility, in fact, that by itself leads to more group energy. Group "alignment" requires an energizing purpose, and in academic cultures such energizing purposes are rarely routine.

- Finally, all of this must be accomplished without trading one Balkanized system of roles and rewards for another. We need new analytic frameworks that make sense for different institutional cultures, based upon amalgams of assessment, program review, and cost analysis. We need more sophisticated ways of negotiating competing institutional values so that academic units share more responsibility for institutional problems without becoming bound up in appraisal systems that are inappropriate for their disciplines.

None of these problems is insurmountable. But attacking them at their core will require a fundamentally different way of going about the academy's business. A trendy saying these days is the traditional African expression, "It takes a village to raise a child." This aphorism does not fit well in a society that is basically more competitive than cooperative. As we struggle to find the appropriate balance between independence and loyalty, between private satisfactions and public citizenship, the work to turn our universities into federations of academic villages may be among the most challenging we have ever faced. □

KENT STATE UNIVERSITY

With more than 34,000 students on eight campuses and some twenty-five different Ph.D. programs, Kent State University is a large university with a complex mission. As an "emerging research university" (a term used in its mission statement), Kent has struggled in the past few years with diverse and changing perceptions of the balance between teaching and research.

Almost immediately — in fact, beginning with her 1991 inaugural address — Kent president Carol Cartwright placed a high priority on the need to redefine "scholarship" and to revisit the ways in which faculty work was evaluated and rewarded. One of her first acts as president was to encourage the faculty senate to take a leadership role in this effort; and with her support, the senate convened a Commission on Scholarship to examine the ideas embodied in Boyer's *Scholarship Reconsidered.* After much debate and active consultation with the academic departments and the top administration, this group, chaired by Professor Greer Glazer (now chair of the senate), produced a set of twenty principles for the evaluation and reward of faculty scholarship. These principles called for the evaluation of faculty work to be considered "first within the context of the department's mission, and subsequently within the context of the school, college, campus, and university mission."

The principles included these key points: (1) scholarship should include the four "types" outlined by Boyer (called *scholarship extended* at Kent) — discovery, integration, application, and teaching; (2) criteria should be developed at the departmental level, should fully reflect the diversity of faculty roles, and should be consistently defined and applied and understood by other disciplines; (3) after review at all levels, the administration should ordinarily support departmental decisions; and (4) minimum standards for "good citizenship" (service activities not tied directly to one's own discipline) should be established by each department and required of all faculty.

After the principles were adopted by the senate in Fall 1992, the senate chair and the provost, Myron Henry, sent a letter to all departments and schools offering to meet in an "open forum" to discuss the principles and their applications. These meetings continue to the present.

At about the same time that the senate was developing and debating the twenty principles, the University Priorities and Budget Committee (appointed by the president and chaired by the provost) was engaged in revising the "defining characteristics" of the university. The resulting document, entitled "Kent Institutional Characteristics," or KICS, puts some flesh on the bones of the university's 1989 mission statement and incorporates "scholarship extended" concepts in its descriptions of teaching, research and creative activity, and outreach and community service (although the term "scholarship extended" is not used). The KICS statement has been endorsed by major university standing committees, the faculty senate, and the Kent Board of Trustees.

A third parallel activity, also initiated by President Cartwright (partially in response to statewide mandates for more thorough documentation of faculty workloads, with a not-so-subtle message that teaching needed to be valued more highly), is an ongoing "faculty productivity study." Its first phase was an intensive analysis of how faculty members in five diverse departments and schools spend their time. Rather than responding to the usual kinds of one-shot surveys, however, selected faculty in these departments kept detailed logs. The findings were revealing: The average time spent on "professional activities" was 50-55 hours per week; the average number of students taught by full-time faculty was 74, while the average for full professors (a subset of that group) was 77; and the amount of time spent in instruction- and advising-related activities was equal to that spent in public service and research *combined*. Findings were consistent across the five disparate units. These largely anecdotal data have formed the basis for a shorter, more statistically oriented survey currently being implemented in a much broader sample of departments. One intended outcome of these studies is to establish "overall performance profiles" and, presumably, performance standards for clusters of departments having similar scholarly cultures and institutional responsibilities (for example, the natural sciences).

All of these efforts have taken place in an environment of severe fiscal austerity; state funding for fiscal year 1993 was 10 percent below fiscal year 1991 levels, and faculty merit pay was temporarily suspended. Kent is an institution with collective bargaining, and by all accounts, 1992-93 was a difficult year. A three-year agreement was reached in April 1993, but it took nearly eleven months, and in the words of one faculty member, it was a "polarizing" process. The campus appears largely satisfied with the outcome, however, due in part to perceived improvements in campus governance. In fact, 92 percent of voting faculty endorsed the new agreement.

Perhaps the most work on the "scholarship extended" front has taken place in the Department of Biological Sciences. Using the "twenty principles" document as its guide, the department already has developed and agreed to its own criteria for the evaluation and reward of faculty scholarship. In brief, the departmental document specifies that performance is to be evaluated according to the traditional categories of research, instruction, and service, but also specifies that "the relative weighting of these categories may vary according to the individual faculty member's role in the department." Further, the department recognizes the "diverse nature" of scholarship — the four categories of discovery, integration, application, and teaching — as being integral to research, instruction, and service. Thus, criteria for excellence in each of these three areas have been identified according to the four-part "scholarship extended" categories, with examples of pertinent evidence given for each one. Department chair Keith (Pete) Ewing explained that the department was able to get so far largely because there was a "good fit" between the suggested framework and what the department was already doing. The Department of Biological Sciences had been engaged in a long-term effort to redefine its departmental mission and develop more differentiated faculty roles. Making these two changes was a particularly difficult problem initially, because of the department's disciplinary diversity and the physical location of its faculty — twenty-five at the main campus, eight others spread out among regional campuses. Still, the department's disciplinary diversity and its focus on applied sciences made the new framework appealing. As Professor Ewing noted, "There wasn't a strong need to change; we just took current practice and defined our framework accordingly." What is unclear is whether the process has had an impact on how the faculty work together, as teamwork is apparently *already* a high priority in this department.

Kent State is one of the few institutions that has established explicit links between redefinitions of faculty work and group incentives and rewards.

As might be expected, some departments on campus are making progress in implementing the principles, while others have done little or nothing to date. One widely held perception among the faculty is that the "scholarship extended" effort is an "attack on research," that enhancing the climate and rewards for teaching will lead to a lessened university commitment to research. They feel that this process will "water down" the criteria for promotion and tenure. Having a new president with an ambitious agenda that addresses the reward system at a time when the campus is under severe financial duress certainly could be expected to lead to wariness or suspicion on the part of the faculty; still, faculty leaders seem sanguine about the prospects for constructive change of the reward system. That merit pay has been suspended is viewed as a short-term problem. The concept of merit pay has general support, with some hope that the new policies will make merit determinations more equitable. The overall environment for incremental change is strong: continuing budgetary concerns, an academic culture that historically has supported balance in faculty work, and an administration that has actively encouraged individual departments to develop their own models for faculty evaluation. Whether a significant number of departments will take up the challenge in the coming months is unclear; some on campus feel that the administration needs to keep the heat on, or even turn it up a little.

Kent State is one of the few institutions that has established explicit links between redefinitions of faculty work and group incentives and rewards. Provost Henry has written, "Convincing individuals within a department to think in a holistic sense is probably still best facilitated by individual rewards." But both administrators and faculty leaders agree that these links will take a while to forge. As Henry notes, one of the major barriers will be the issue of differential faculty responsibilities:

> *We have not reached any kind of understanding on the technical implications of redefining the roles of faculty. That is, faculty opinion has not yet warmed to the differential assignment approach which would lead to some faculty spending more time in the classroom, more time advising, and more time with students. Instead, the debate right now seems to focus on why [faculty] don't have time for research or why they were not properly rewarded because all that counts is research. So far, there just haven't been very many volunteers stepping forward to teach more. . . . Perhaps more focus on collective success and less on individual stardom may lead us to the academic department as the key unit.*

He continues, "At Kent, we are discussing the *need* to embrace a view of faculty productivity that is more congruent with overall departmental responsibilities, to establish links between individual performance and reward and departmental effectiveness, to determine measures for departmental success, and to make the resource allocation process more open."

This is all fine "in theory," according to one faculty leader, "but difficult in practice. Moving from the personal to the collective view will take a long time and will require structural changes and reasoned strategies. Getting faculty to work on collective issues of *any* sort is difficult." Difficult, maybe, but Kent's Department of Biological Sciences has shown that it's not impossible. □

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(See the Appendix for the Kent State Faculty Senate Commission on Scholarship's "Principles for the Evaluation and Reward of Faculty Scholarship.")

ROCHESTER INSTITUTE OF TECHNOLOGY, COLLEGE OF BUSINESS

Rochester Institute of Technology (RIT), located in suburban Rochester, New York, is an independent coeducational university of nearly 12,000 students. The Institute has nine colleges emphasizing the applied arts and sciences and includes the National Technical Institute for the Deaf. RIT historically has prided itself on its close ties to Rochester's industries, which include the "world center" of photography, the largest producer of optical goods in the U.S., and national centers of graphic arts and electronic equipment. The Institute's close ties to the business community are evidenced by its active cooperative education program, which places more than 2,600 students annually.

The Institute is an expensive place for students, however. Its tuition is five times that of nearby state institutions of high quality, and student enrollment has been dropping steadily in recent years. Student recruitment and retention has thus become a high priority, beginning with the efforts of the former president. Another major goal of the Institute is to revisit the institution's entire economic structure, and a Priorities and Objectives Committee has been formed to set new directions. Thomas Plough, RIT's provost, envisions that the committee's recommendations will help to create a more student-centered campus that has a more accessible faculty and a strong assessment program with clear links to resource allocation. Unit incentives and rewards may not yet be part of the way RIT does business, but, according to Plough, they're coming.

In 1990, the College of Business got a new dean, Richard Rosett, who quickly came to the conclusion that the college's "plain vanilla" business program could not survive for long, given the college's steep tuition and the abundance of less-expensive competitors. "We needed either to differentiate our market or [to] plan an orderly retreat." Rosett's first idea was to develop a niche in "manufacturing management," a strong possibility, given the strengths and collaborative spirit of the Institute's College of Engineering; but he realized that genuine cooperation would take more time than he felt the college had. Then, he attended a program on TQM sponsored by Xerox and, although he was skeptical of all the TQM "sloganeering," something clicked. He knew that many area firms with close ties to RIT were quality oriented and thus potentially interested in quality's academic applications; he also knew that RIT's engineering dean was interested in and committed to TQM. Rosett began to imagine ways of applying TQM to the College of Business's teaching and administration.

One of the first questions he posed to the elected faculty advisory committee was whether or not the College of Business should adapt TQM principles to its own work. He found that the committee — and the faculty in general — were aware that the college was fighting for its very survival and that they needed to do something "extraordinary and dramatic" in a difficult and soft student market. Given the college's location in an environment where TQM is widely admired, the faculty were willing to listen and experiment. (As an aside, Rosett remarks that such a reception would have been unlikely at his former institution, the University of Chicago. There, he says, because of Chicago's "world-class" status, the faculty response likely would have been, "Look, the academic world is telling me I'm the best. If you want me to make a big change, I'll just go where I'm more appreciated.")

The Xerox Corporation was willing to help RIT's College of Business with its initial faculty training, and sponsored a series of faculty workshops in early 1991. Faculty were interested, but skeptical. Later in the year, the college sponsored a three-day faculty retreat attended by all college faculty and most of the professional staff. By all accounts, this retreat was a seminal event. Not only did the college emerge with a plan for implementing quality, the faculty also came away with a much stronger sense of community and common purpose. The initial plan had three goals: (1) to subject the curriculum to a thorough review using TQM principles, (2) to revamp the college's approach to student services, and (3) to find ways to adapt TQM to teaching. The plan was submitted to a faculty referendum and was passed overwhelmingly.

The process was helped along by two major awards: RIT was one of two universities in the nation to win both the Motorola TQM University Challenge and the IBM Total Quality Management University Competition. These awards, given to the Colleges of Business and Engineering, enabled them to examine corporate quality principles, engage in curricular and faculty development, and upgrade student computer facilities. RIT also has achieved some visibility as the cosponsor of the RIT/*USA Today* Quality Cup, an annual award presented to both corporations and nonprofit organizations. In keeping with RIT's student recruitment emphasis, a Quality Cup Medal scholarship also has been established for high school juniors.

During the past two years, RIT's College of Business has made major changes. The college's formal Vision Statement (September 1992) now says, in part:

The RIT College of Business will distinguish itself nationally and internationally as *the premier source of graduates fully prepared for employment by organizations committed to Total Quality Management. . . . Our customers include students, employers of our students and graduates, students' parents, alumni, coworkers within the College of Business and other colleges, and administrative units within the Institute. TQM practices . . . will be integral to our curriculum. We will encourage, reward, and support research directed toward understanding, explaining, and enhancing the management practices associated with TQM. We will pioneer the application of TQM to the teaching process. In retention of students, in their mastery of our curriculum, and in their satisfaction with the quality and delivery of their education, we will set an example for all of higher education. . . . [Values underlying this mission include] continuous improvement, teamwork, openness and mutual trust, frequent two-way communication, immediate action, and forthright dealing.*

The college's governance structure is completely new. Formal departments have been eliminated and replaced by three kinds of teams: (1) *disciplinary teams* responsible for faculty development and the "intellectual integrity" of courses offered by the discipline; (2) *program teams* responsible for managing individual academic programs (majors); and (3) *committees*, cross-functional groups of faculty responsible for the business of the entire college (e.g., cooperative education, graduate affairs, faculty assessment).

The college's undergraduate curriculum also has been totally revamped. Six teams — one each for accounting, finance, international business, information systems, management, and marketing — spent the 1991-92 academic year surveying students, alumni, and potential employers and developing new curricular goals. A college-wide Curriculum Committee then established a common "core," and faculty members drafted course outlines for review by program teams. The new undergraduate curriculum was officially implemented in Fall 1993, as was a graduate-level Executive M.B.A. program that features TQM as its curricular centerpiece. Despite competition from other institutions in the area, the college's first M.B.A. class was oversubscribed.

A final significant change has been in administrative services and operations. Most visible have been changes in student services, where the focus is on "continuous improvement" via structured student feedback. Measurement of student opinion is a major effort, beginning with a comprehensive student survey, and followed by more targeted ones, buttressed by taped interviews with randomly selected students. Topics of these written and oral surveys have included the curriculum, teaching quality, accessibility of faculty members, and services to students in the college and the Institute. Problems uncovered have led to streamlined services and less bureaucracy (for example, making it easier for students to withdraw from courses). As administrative actions have affected the Institute's broader policies, administrators from other offices (such as student affairs) have been brought in to consider the data and their potential consequences throughout the institution.

How have faculty work lives changed as a result of all of this? While it's a bit early to tell for sure, there is little question that the implementation of TQM on such a broad scale has had a major impact on how people in the college work together. First, and most relevant to this monograph, almost all decisions are made collaboratively. Since department chairs no longer exist, teams must decide together how to allocate resources, even for more minor expenditures such as travel funds. Teaching has become more public, too, as individual courses are examined by program teams and college committees for their coherence and integration with the overall curriculum. Faculty also appear to be more sensitive to "market needs," using student feedback, and thus incorporating notions of "continuous improvement" as part of their normal work.

The college's governance structure is completely new. Formal departments have been eliminated and replaced by three kinds of teams.

Faculty reactions since the college's early commitment to TQM have been mixed. Overall support is widespread, with 50 to 60 percent of the faculty firmly committed to making the changes work and most of the rest going along. Some "process burnout" did occur during the intensive planning years, prompting reactions such as: "TQM means more work," and "If this is 'empowerment,' I'm not so sure that I want to be all that empowered." Some faculty argue that although the concepts have been useful, the project has tried to do too much, too quickly, and with too many "teams." Faculty members are beginning to demand relief from other duties, speaking of the need for "release time" in order to accommodate the more-demanding administrative workload. Most agree that the first full implementation year (1993-94) was the most critical. As Dean Rosett put it, "We have shown that we can make [TQM] pay, now we need to show that we can make it work."

It's also a little early to assess the impact of the College of Business's restructuring on the rest of the RIT campus. Clearly, a link seems to have been established with the College of Engineering (a natural one, even if it *was* required by the IBM grant). A new major is being built — Manufacturing Management (one of Dean Rosett's early priorities) — as well as a Center for Integrated Manufacturing Studies. Moreover, there are hints that the impact of TQM elsewhere at RIT may well be greater than at most other institutions. The new president is supportive; other deans express interest (says Provost Plough: "They're in an active watching posture"); institution-wide service units are becoming increasingly involved; the college has received external credibility because of the Motorola and IBM awards; and TQM is viewed by the administration as at least potentially compatible with its new strategic-planning effort. One telling point may be that the college's "service" courses, which make up just over 20 percent of its total offerings, have generated positive commentary in the campus community for their quality of teaching and responsiveness to student needs. Representatives of the college have been invited by every major administrative unit at RIT to explain what the college is up to.

TQM at the College of Business appears to be well on its way. As one observer said, "We haven't scaled the mountain, but we have established a base camp." Success in scaling the mountain will likely require that the college do two things: First, it needs to maintain faculty momentum with evidence that faculty, on an *individual* basis, are personally and professionally better off for the effort. Second, as several observers noted, the college needs to focus attention on evaluation and accountability. As one said, "At first there was a sense that *anything* we did would be an improvement; now we need to be more critical." Needs revolve in particular around team accountability. How this will be put into operation (for example, how peer review within and across teams will work) and how the new structure will affect the distribution of resources at the college level are as yet unknown. The two points may be related. As associate dean William Nowlin observed, "The best way to convince faculty that change is taking place is to incorporate it into the evaluation system." □

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(See the Appendix for the RIT College of Business's "Realignment Plan and Plan of Work.")

SYRACUSE UNIVERSITY, THE MAXWELL SCHOOL

With fourteen schools and colleges and more than seventy-five academic departments, Syracuse University is in many ways typical of a large private research university. But in other ways it is quite atypical. In February 1993, Vice Chancellor Gershon Vincow reported to the faculty on the university's progress in shifting its fundamental vision to that of a ***student-centered*** research university. He characterized the difference this way:

> *Typically, university missions are defined in terms of "teaching, research, and public service" or "conserving, transmitting, and creating knowledge." At Syracuse, our mission is "to promote* learning ***through teaching, research, scholarship, creative accomplishment, and service***" [emphasis added].

The need to pay more attention to teaching and learning in the university's mission — and ultimately in its reward system — gained early visibility in the mid-1980s with the establishment of a new administrative position, vice president for undergraduate studies. Ronald Cavanagh was appointed to this position and almost immediately began working with Robert Diamond, assistant vice chancellor for instructional development, on strategies to improve the status and quality of teaching.

The first in a string of funded projects to accomplish this goal was a one-year grant in 1989 from the Sears, Roebuck Foundation called Affecting Priorities at a Research Institution: Focus on Teaching. The project had three purposes: (1) to help deans and chairs understand more clearly their influence on the "attitudes and priorities" of the faculty regarding teaching; (2) to help deans and chairs develop ways of influencing faculty attitudes and priorities about teaching; and (3) to identify how central administration could help in this process. One of the project's first steps was to develop a survey for faculty and administrators that assessed their perceptions of the existing and ideal balance between research and teaching at Syracuse, and the direction in which they felt the institution was moving. Results indicated consensus among *all* parties that research was valued more highly than was teaching on campus, and that a more equal balance would be desirable. The survey results became part of the background material for a two-day summer conference attended by almost all of the university's deans and most of its chairs. Participants developed action plans for improving teaching in their units and made recommendations to the central administration as to how it might support these initiatives. As deans and chairs began to implement their plans during the following academic year, several concerns emerged: rewards for "traditional research" simply didn't fit many disciplines; faculty members engaged in certain types of research because that was what was rewarded (and other important, disciplinary-related activities were *not* being rewarded); and little incentive existed for improving instruction. Later in the year, responding to the recommendations of the summer meeting, the university's academic administration announced a $50,000 annual commitment to a new faculty instructional grants program.

Even after its initial grant expired, the Focus on Teaching project continued into a second year, concentrating on policies and procedures for evaluation at the unit level. By April 1991, formal plans had been developed by nine of the fourteen schools and colleges at Syracuse; by 1992, revised faculty reward guidelines had been developed by every school and college. During this period, two additional grants were awarded to Syracuse, one by FIPSE to build on work undertaken by the Sears project at six additional research universities, the other by Lilly Endowment Inc. to survey the perceived relative importance of teaching and research at more than forty-five other universities.

In a relatively short time, Syracuse was able to increase the university community's awareness of the need for change in the faculty reward system, and to generate some highly visible activity in response to this need. How did this happen? As Diamond has said, "This was clearly the right project at the right time." Students had become increasingly vocal in their dissatisfaction with the attention Syracuse gave to teaching (as evidenced by the founding, at Syracuse, of the national organization Undergraduates for a Better Education). Private universities are also, perhaps, more sensitive than are public institutions to student voices. But other factors were also at work: The project's leadership quickly saw the need to deal with the entire reward system, not just teaching; top administrators at Syracuse played an early and visible role and backed up their commitment with tangible resources; and the focus of change stayed at the unit level, recognizing the diversity of academic cultures. As further survey data have indicated, this effort has enjoyed broad support from faculty, chairs, and deans.

A second critical event came in early 1992, when new chancellor Kenneth Shaw submitted a report to the campus community, entitled "Restructuring Syracuse University: Introducing a More Learning- and Student-Centered Culture." In it, Chancellor Shaw identified the major external pressures facing the university, both budgetary and political, and three internal concerns, all of which related to the teaching mission: (1) achieving a better balance between teaching and research, (2) encouraging a "richer blend of liberal education and professional studies," and (3) preparing students for a changing and increasingly diverse workplace. The central theme of the restructuring document (and implicitly the place where the university was to begin) was the faculty reward system. Shaw's charge to the faculty was as follows:

> *I ask that each school and college review its policies and procedures for evaluating faculty performance and incorporate changes as needed to reflect: an increased emphasis on teaching and advising; an improved set of procedures for both formative and summative annual evaluation of teaching and advising for tenured and nontenured faculty; and a description of the appropriate balance, with teaching holding equal emphasis with research, scholarship, and professional activity.*

In addition, the chancellor asked for "an explicit response to an expanded definition of research," using the Boyer framework as a model. Colleges were to submit these statements as applied to merit salary increases by April 1992, and new policies were to be implemented in 1992-93. Chancellor Shaw also announced, as evidence of his commitment to change, a series of annual awards to be given under the Chancellor's Fund for Innovation, an endowed fund intended specifically for curricular and classroom innovations, such as small group instruction in introductory courses. Endowment of these awards was made a top fund-raising priority, and by the end of 1993 the university had raised more than $2 million for it.

The general strategy for change at Syracuse, enunciated by the chancellor and carried out at all administrative levels, was to develop a stronger sense of institutional mission, then to evolve mission and priority statements successively through school/college and program/department levels, with increasing specificity at each level. All schools and colleges at Syracuse followed through on the chancellor's charge to promulgate new policies and procedures for faculty evaluation and rewards. One of the most vigorous efforts was in the Maxwell School of Citizenship and Public Affairs, an unusual collection of 125 faculty members in seven departments (history, anthropology, sociology, geography, economics, political science, and public administration). John Palmer recently had joined the faculty as dean of the school, bringing with him more than twenty years' experience in a Washington, D.C., think tank, as well as some ideas about how the academy needed to be more responsive to the public trust.

Like others at Syracuse, Palmer was concerned about the usual plate of issues — coherence of the undergraduate curriculum, teaching effectiveness, services to students — but he also was concerned about departmental fragmentation and the lack of a clear sense of mission for the Maxwell School. And so he set as a long-range goal the task of getting his disparate departments to think more collectively. "I realized that what I was embarking on was akin to changing the course of oil tankers," he said, "and I knew I would have to bring this about gradually." He established biweekly meetings of the school's Executive Committee (the dean and the seven departmental chairs) to focus on long-term goals and strategies. "We realized early," said Palmer, "that we could talk about our common needs and concerns in a way that appealed to the self-interest of our departments." One of the committee's early points of discussion was undergraduate education. In early 1991, the committee developed (under the aegis of the Sears project) a series of "initiatives to improve the quality of undergraduate education." These included streamlining the curriculum by reducing the number of upper-division specialty courses and moving more senior faculty effort into lower-division courses, establishing small interdisciplinary core courses, enhancing evaluation of teaching by students and peers, promulgating greater teaching loads for "less active scholars," instituting training programs for advanced graduate students and young faculty, and improving services to students.

Maxwell departments were given until November 1992 to determine how to allocate salary increments in ways that placed equal emphasis on teaching and research.

This work set the stage for responding to Chancellor Shaw's request for school-wide plans to improve the faculty reward system. Maxwell departments were given until November 1992 to develop their own plans for the evaluation of faculty, and specifically to determine how to allocate salary increments in ways that placed equal emphasis on teaching and research.

Responding to the mandate was relatively straightforward in some Maxwell departments, more difficult in others, and resulted in some widely diverse departmental guidelines.

The Economics Department, for example, had a long history of systematic faculty evaluation for salary review, and so it needed only to fine tune existing documents. According to chair James Follain, the process was a "tremendous experience" for the department, all the same: "We began with a sense that we needed to improve as a department. In some ways we were almost a new department, with new senior people who had been recruited to Syracuse for their interest in undergraduate teaching. . . . The task gave us a way to talk about teaching with each other, and we realized that we needed to develop more settings for conversations like these to occur." The department decided on the following policy: Of the pool of funds available for salary increase, 40 percent would be allocated according to performance in teaching and advising, 40 percent to research, and the remaining 20 percent according to the discretion of the chair. Key to the document was the statement that "the 40-40-20 rule may not always be applied rigidly among all individuals each year." The chair might adjust the weights for specific individuals in specific years, while keeping the ***departmental*** averages consistent over time.

For the Geography Department, in contrast, the process was a "major exercise," as relatively little of the evaluation scheme had existed in writing prior to the chancellor's request. The departmental culture, according to new chair John Mercer, was for a strong chair to keep most administrative responsibilities to himself, and for faculty to play only a modest role in departmental governance. This was a role with which most geography faculty were satisfied, as it gave them more time to focus on their own teaching and research. Mercer saw the new administrative mandate as an occasion to further his own long-term goal to "make the department work more at the team level, while at the same time recognizing individual accomplishment." In general, despite the novelty of debating issues in an open forum, the process of developing evaluation criteria was fairly straightforward. The criteria were qualitative and interpretive, rather than quantitative and analytic. For the Geography Department, half of all merit pay was to be divided equally among faculty, with the remaining half further divided into two pools, one for teaching/advising and one for research. Earmarking merit pay specifically for teaching excellence was brand new, and it was the subject of the most "contentious" discussions. As Mercer put it, "Strong teachers (but maybe only adequate researchers) were supportive of the changes, and found them overdue. The mainline researchers mostly went along, although some may want to leave. That bothers me a little bit, as our department is one of the half-dozen best in the country, and we don't want to lose that distinction. But I think that despite the cynicism among some of our senior faculty, they recognize the need for change; they're beginning to understand that these discussions are serious and the shifts are important." How has the process helped Mercer's goal to encourage teamwork? "We're giving slightly more explicit attention to differential faculty workloads," he said, "but the faculty are balking at doing more teaching. They are a remarkably productive group of colleagues who are already teaching two courses each semester, as well as taking on a number of individual independent study courses. In the end I'm more concerned with the quality of the teaching and advising being done than the issue of differential loads. We ***have*** been able to initiate some informal changes, like reducing service requirements for those with large advising loads."

Dean Palmer notes that progress toward greater collective accountability is more likely in a school like Maxwell, which has had a strong "citizenship" mission for years. He sees his departments thinking more and more in collective terms: more departmental responsibility for curricular integrity; more differential faculty assignments, leading to a more productive faculty; a subtle shift in allegiance from the discipline to the institution. "What matters most," he said, "is clear and consistent articulation all the way [from the chancellor] down, then behavior to back it up, like spending discretionary dollars and hiring new faculty, in ways that are consistent with the policies. It's all part of the package." ☐

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(See the Appendix for the Syracuse Department of Economics's "Evaluation of Research and Teaching for the Purpose of Salary Determination" (selected sections) and the Department of Geography's "Policies, Standards and Procedures Regarding Annual Merit Salary Review, New Faculty Appointments, Annual Review and Reappointment of Untenured Faculty, Tenure, and Promotion.")

UNIVERSITY OF CALIFORNIA AT BERKELEY, COLLEGE OF NATURAL RESOURCES

The University of California at Berkeley is for many the embodiment of the modern American research university: a dizzying array of academic departments, most of which rank in the top ten nationally; more than 100 undergraduate majors; a proud and independent faculty with a passion for academic excellence in their fields; a campus culture that infuses students and faculty with the sense that Berkeley is a special place.

Times are changing at UC-Berkeley, however. Enormous budget cuts throughout the University of California system (totaling $43 million over two years at the Berkeley campus alone, including a 3.8 percent faculty pay cut for 1993-94), accompanied by increasing public skepticism about the value of higher education, has put tremendous pressure on the institution to preserve its sterling academic reputation on a shrinking budget. As one administrator said, "We're spread like margarine on a slab of bread. How do you downsize? That kind of talk goes on hourly."

The most recent attempts to reorganize academic work at Berkeley have focused on undergraduate teaching and the structure for academic decision making. There is some support for change, certainly among top administration (including the chancellor, who listed undergraduate teaching as one of four top priorities when he assumed office in 1989) but also increasingly among the faculty leadership, for reasons that are both personal and political.

As several observers noted, the faculty at Berkeley share a strong general attitude that they must be outstanding in everything they do. As one campus dean, relatively new to the campus said, "There's a sense that everything has to be first class here: If we have a problem, we either fix it or get rid of it." In the past few years, significant changes in undergraduate education have taken place, all of which require greater faculty collaboration both within and beyond departmental lines. For example, a new Center for the Study of American Cultures has made available to faculty small grants — "fellowships" — to develop courses that meet the institution's new American Cultures requirement; and a series of highly successful "freshman seminars," small courses taught by senior faculty, will continue despite the budget pressures, some 100 such courses in 1993-94. The freshman seminar idea was broached as a way to enhance the academic engagement of freshmen on campus. Staffing targets were assigned to individual departments. At first, there was some concern about incentives for senior faculty to teach these courses, but it was a surprisingly easy "sell." As Arnold Leiman, faculty assistant to the vice chancellor, put it, "It just seemed to everybody as the right thing to do. We appealed to faculty's sense of pride in the university. . . . Besides, the faculty for years have urged attention to the lower division, anyway."

Political changes at Berkeley stem from a gradual shift in campus culture. As one faculty member sees it, "Berkeley has always been on the 'star system' — a few people get the publicity and everybody else does the work. What we're seeing here is not a change of heart but a power shift from the stars to the workhorses." Rank-and-file faculty who carry the lion's share of the teaching load are beginning to get some respect and power. For example, newer faculty have gained appointments to the powerful budget committee and have criticized the rewards for teaching as being inadequate. A new Academic Planning Board (APB), a joint board of key senate chairs and top academic administrators, also has been formed to assist in making academic planning decisions for the university as a whole. Several observers point to this new committee as a major signpost of a new spirit of teamwork and faculty collaboration on issues of common concern to the university; as Barbara Davis, dean of educational development, says, "While no group at Berkeley speaks with a single voice, the work of the APB so far has been to tackle and achieve consensus on a number of difficult issues, including ways of steering the campus long-term." Yet, senior faculty (whom one young faculty leader calls the "white-haired oligarchy") are still in control of the faculty senate, where emeritus faculty are full voting members and exercise these rights (the 1993-94 senate president, in fact, was an emeritus professor). Some young faculty continue to be told that "now is not the time to get involved in university politics; you need to focus on getting tenure, so avoid committee assignments and teaching duties where you can." The question for the moment seems to be whether there will be enough internal energy — and enough external heat from the administration and its various publics — to allow Berkeley's modest momentum toward a more transdisciplinary, collaborative culture to continue.

An interesting microcosm of the changes taking place at Berkeley is the College of Natural Resources (until recently, the College of Agriculture). Most land-grant universities have had to confront what to do with their "ag units," since, as noted by Keith Gilles, chair of the faculty, such universities are victims of their own success: "They did their job — they got people off the farm and educated them." Forestry and natural resources management are viable, even growing disciplines, but overall the college was faced with too few student majors, too many professors, and a wide disparity in teaching loads and student FTEs across the faculty. In better financial times, these disparities would have raised few eyebrows, since most faculty salaries were supported by university research funds. But Professor Gilles and some others in the college realized that the college's departmental structure was anachronistic. For example, even though the college housed most of the university's ecologists, it had no ecology department and it continued to cling, instead, to the traditional departments of plant pathology, soil science, and entomology.

In the late 1980s, agriculture faculty had taken part in a review and restructuring of the Biological Sciences Department in the College of Letters and Sciences; now it was their turn for scrutiny.

Dean Will Gardner, of the College of Agriculture, was at the center of the change effort. He had been pushing for a reordering of the college's mission ever since he arrived at Berkeley in 1987. "I came in with a clear agenda," he said. "It wasn't clear that the college knew where it was going. Like a lot of other ag colleges, we were living on past glories, not looking ahead. And we'd become increasingly isolated from the rest of the campus." He had a lot of outside ammunition to draw upon: The campus administration also had begun to ask questions about equity in teaching load and research output, and their concerns were echoed by the faculty senate, which periodically reviews academic units.

Gardner appointed a faculty committee to come up with a reorganization plan for the college. The reorganization discussions were heated; interestingly, the greatest controversy was not about instruction but revolved instead around a modest pool of research funds that had not been competitively allocated to departments within the college. Some of the more conservative departments in the college, apparently thinking that the plan would go nowhere, gave their early endorsement to the work of the committee, but the Academic Planning Board accepted the plan, and a last-minute insurrection by one ag department came too late.

Key to the plan was a reorganization of the college's existing structure from eight to four departments, and a clear decentralization of authority and responsibility.

Key to the plan was a reorganization of the college's existing structure from eight to four departments, and a clear decentralization of authority and responsibility:

Departments will be responsible for managing the Instruction and Departmental Research budget, extramurally supported individual faculty research grants, space, teaching assignments and curriculum, graduate student support, and the general administration and well-being of the faculty, students, and staff in the department.

Each department will develop its own academic plan in support of its request for new faculty FTE positions. These plans will be consistent with the mission of the college [and] the goals of the campus. . . . Whatever internal structure is developed will of necessity be a permeable one, designed to enhance flexibility and collegiality among the members.

During this period of change, the Department of Forestry and Resource Management (later reorganized as the Department of Environmental Science, Policy, and Management) took on much of the leadership within the college. Forestry already had a multidisciplinary makeup; its faculty were used to working together; and as a whole, the departmental culture had a highly practical orientation. The push for college reorganization forced the department to face the relevance of its current courses and to see whether it could do better. By adopting a more cosmopolitan mission — "the role of people in nature" — the department's faculty recognized that they, as well as faculty in other college departments, had significant untapped teaching resources for the university.

Two university-wide initiatives helped the process in the forestry department along and gave it wide visibility. In the first, two of the department's faculty members obtained fellowships from the Center for American Cultures to develop new programs targeting "the multicultural composition of American society, and the linkage between educational opportunity and urban problems." Getting some time off to retool in a way sanctioned by the university was absolutely critical, claimed Sally Fairfax, one of the fellowship recipients. Her project led to a revamped undergraduate curriculum, provided "an intellectual growth opportunity," and led to an educational outreach program with the Richmond (CA) and Oakland public schools. Out of this initial effort, a departmental committee was formed to address issues of multicultural education and to develop a departmental course that would meet the American Cultures requirements. The American Cultures Center has since awarded the department a fellowship to develop further courses and to assist in developing a new undergraduate major, Management of Cultural Resources. These courses also have been designed to satisfy undergraduate requirements campus wide, thus making them an integral part of the university's undergraduate curriculum.

The second initiative was the Educational Initiatives Award, established in 1993. For some years, the university had given awards for teaching excellence to individual faculty members, but the Educational Initiatives Award marked the first occasion that a *department* was recognized for its instructional innovation. The forestry department was the first recipient of this cash award, which it intends to use as seed funds for short-term curricular development grants to its faculty. The intent is to "drive home the cultural changes" now taking place. As one faculty member said, "The history in this department has always been that faculty talk with one another about their teaching; the difference now is that whereas we used to talk about 'my course,' now we talk about 'our program.'" But as one person pointed out, "Changing the curriculum is the easy part; deciding how we're going to change the way we allocate resources is the hard part, and we haven't done that yet."

Are the changes in the forestry department and in the College of Natural Resources as a whole a marker for the rest of the university? Clearly, the college has gotten a lot of visibility, particularly with the Educational Initiatives Award, and it is held up as an example of what can be accomplished in other ag schools across the county. As for Berkeley, flagship campus that it is, change will come slowly and incrementally. Its modest successes to date and the increased emphasis on collaboration in teaching do suggest a gradual shift in culture and values, but changing the *accountability rules* to focus on collective performance will be much more difficult. □

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(See the Appendix for the UC-Berkeley College of Natural Resources's "Academic Plan.")

UNIVERSITY OF WISCONSIN-MADISON, COLLEGE OF LETTERS & SCIENCE

David Ward, chancellor of UW-Madison, has been the principal spokesperson for campus change in faculty roles and rewards since he first became its provost in 1989. In that year, a Future Directions Committee on the Madison campus made several recommendations regarding "faculty review and development," including individual five-year plans for faculty "to encourage flexibility, to broaden career perspectives, and to revitalize the weary"; better methods for assessing "diverse contributions to the university's overall mission"; and more creative ways of recognizing teaching quality. James Taylor, professor of chemistry and chair of the executive committee of the faculty senate at the time, supported these recommendations, but he had become pessimistic about their prospects. "Two things worried me the most," he said. "First I was afraid that faculty wouldn't work on many of the important issues facing the campus, because they felt they would be taking needed time away from their research. Even worse, I started noticing that junior faculty were becoming sorely tempted to ignore working on their teaching altogether and to focus entirely on developing their research credentials."

So Taylor agreed, once his senate term was over, to chair a university Committee on Teaching Quality, Evaluation, and Rewards. Its charge from the executive committee of the faculty senate was to examine the "role, evaluation, and rewards for teaching"; to develop a statement "describing the appropriate balance of research and teaching"; and to propose "principles, policies, and procedures to improve the evaluation of and reward system for teaching" at UW-Madison. As his committee went about its work, said Taylor, "we were stunned at the high quality of teaching at Wisconsin — and appalled at how horribly it was rewarded." The committee presented a draft report to the faculty senate in November 1992, and, except for farming out posttenure review issues to a separate committee, the senate made only minor revisions. In February 1993, the faculty senate unanimously endorsed the report's revised recommendations.

The centerpiece of the report was a recommendation that the university establish a Teaching Academy composed of outstanding teaching-award winners, others with recognized teaching expertise, and those who had developed a reputation for using innovative teaching methods successfully. Among the other ten recommendations were statements:

- that at least 20 percent of the annual merit pool be allocated to reward excellence in teaching;
- that expectations for student learning be reviewed periodically by departments and programs, and the results used to promote a better understanding of relationships among courses;
- that departments and programs design work assignments for faculty to encourage integrative and interdisciplinary scholarship;
- that departments move to short-term "workplans" that state how faculty members intend to divide their efforts among teaching, research, and service in ways that serve the missions of their departments and the university; and
- that a "teaching resume" be adopted for evaluation of faculty performance in teaching and learning, including student ratings and peer reviews of teaching.

Taylor noted that this last recommendation generated the most controversy — in his view, primarily because of faculty fear that colleagues might not be as comfortable doing for teaching what they already did for research.

While Taylor is optimistic about the eventual implementation of these recommendations, and while the Teaching Academy is already in its early organizational stages, he estimates that it will take at least two years for most of the recommendations to take hold. "In a complex university like this one," he notes, "the key will be in what departments do. They need to look at an array of possibilities for teaching improvement, and pick those that make the most sense for them. Administrative mandates don't work."

Taylor's mixed feelings are shared by many others on campus. As important and useful as the committee recommendations and senate actions may have been, there is a sense among campus leaders at UW-Madison that these measures are not sufficient, that the usual kinds of responses intended to elevate the status of teaching do not speak in fundamental ways to the sorts of structural and cultural changes needed. Results of a broad student satisfaction survey conducted during the 1992-93 academic year underscore this point. In general, students expressed high satisfaction with the quality of classroom teaching they had received at UW-Madison (95 percent rated it "good" to "excellent"), the accessibility of faculty members, and the overall quality of their education given its cost. Students were far less satisfied, however, with other parts of the university's educational mission: the coherence of the undergraduate curriculum, the quality of advising, access to laboratories and instructional technology, financial aid, and internship and research opportunities. Chancellor Ward's view is that these other aspects of the undergraduate mission need more emphasis as part of the faculty reward structure. Such ideas have led him to look at the functioning of the larger system: "To use a biological analogy," he said, "the cells seem to be okay; it's the organism that is sick."

This conclusion has led in part to a questioning at Wisconsin of whether the time has come to move away from the "individual reward system." Two streams of work are under way: The first consists of various forms of department-based grants — teaching awards (a model copied by the entire Wisconsin system) and new grants for innovative uses of instructional technology. The second consists of early conversations about how the university might recognize academic groupings other than traditional departments — "federations of interest," as Ward calls them — that would be more appropriate to the evolving knowledge base. The academic leadership at UW-Madison is exploring whether such groupings — larger than departments but smaller than schools (for example, fine arts, area studies, biological sciences) — make sense, and if so, how to give them legitimacy and support their development.

Through it all, the academic administration at UW-Madison has committed itself to asking basic questions about faculty work and challenging traditional assumptions about how that work should be organized, evaluated, and rewarded. As Ward has said, "There's a richer dialogue about higher education outside than inside the academy. It's time we changed that — by listening to students, becoming more informed by data, and by letting our structures be more mission driven." When reminded that a lot of this sounds like total quality management, Ward doesn't deny the connection, but says, "We talk about TQM in a quiet way here; I don't go around preaching TQM, but occasionally I will give a gentle reminder that 'this is a TQM principle.'"

Wisconsin's increasingly unit-based perspectives are beginning to be reflected in resource allocation decisions. Wisconsin so far has not had to face the cuts in state support that have plagued so many other public universities; but there are financial problems nonetheless. In the College of Letters & Science, external support for research has continued to rise, but spending on academic-year salaries has dropped. As Joe Corry, associate vice chancellor for academic affairs, put it, "We were so dependent on research money that 20 percent of the faculty in the college needed to be on leave at any one time." Early in the decade, the college tried a "surgical" approach to downsizing, targeting departments for closure, but it didn't work. "We couldn't get to consensus," said one person, "and frankly, we didn't have the will, anyway." In retrospect, most feel little remorse about the impasse. As one person said, "troubled departments are often important to institutional mission. We need to keep them and nurture them, not get rid of them."

The latest round of attempts at downsizing in the College of Letters & Science (called "differential downsizing" this time) took place in 1992-93. Each department did a quick self-study that included both indicators common across the college (i.e., "quality, centrality, and efficiency") and data of its own choosing. Then, three review committees, one for each cluster of disciplines, wrote reports covering the departments in their purview. The college's Academic Planning Committee (a standing faculty committee) reviewed all the reports and analyzed individual departments' contributions to the mission of the college. The committee's resulting recommendations were crafted into a strategic plan by Phil Certain, then associate dean and now the dean of the college. The plan resulted in a net loss of seventy-five faculty positions, to be phased out through attrition and other "natural causes." Some departments lost as many as four positions; others actually gained. In 1993-94, each department filed a formal plan stating how it intended to meet its target; considerable flexibility was possible, including allowing departments to use faculty positions as "units of currency," saving one faculty FTE, for example, by demonstrating savings of $50,000 elsewhere. "There was a grief reaction initially to all of this," Certain said, "but there was widespread recognition that we needed to take charge — and faculty generally saw the process as good and sound." Thus, while faculty from the departments most affected by the cuts may not have been happy about the outcome, there was relatively little griping about the process. Also notable about the strategic plan is its conscious effort to protect interdisciplinary programs, which the dean credits in part to Chancellor Ward's emphasis on enhancing "horizontal" programs on campus. "Faculty work hard at collegiality here," Certain notes. "There's lots of horse-trading within academic administration. We're seeing discussions now in deans' councils about how we can create structures for whole new academic fields."

UW-Madison has committed itself to asking basic questions about faculty work and challenging traditional assumptions about how that work should be organized, evaluated, and rewarded.

Certain firmly believes that the strategic plan for his school — occasioned as it was by budget woes — has begun a long, slow process toward greater "corporateness" in his departments, a sense of the department as an organic entity rather than just as a collection of individuals. His goal is to move toward increased levels of departmental responsibility, not only in personnel decisions and purchasing but also in teaching-load policies that would allow for greater flexibility at the department level. "I want to get to the point," he said, "where we set goals for departments and then let them decide how to meet them. It won't work for the Dean's Office to mandate change. . . . We've got to set up reward structures at the departmental level; we've got to get departments to confront their total mission." Certain finds himself becoming impatient with discussions about the "reward structure," saying, "We need to get beyond the analytical level and get departments as a whole to change. This will happen only when faculty within departments see the need to change."

The model developed for the College of Letters & Science may, in some form, become part of the larger university system of academic program review. The university's policies and procedures for academic program review are typical of most large research universities: New programs are subjected to a highly formal review by the UW system after their first five years; after that, the reviews are decentralized to the college level, they occur on a ten-year cycle, and results are not shared beyond the individual school or college. There is general agreement within the administration that this will change. The assessment movement, fueled by a state "accountability" task force that has proposed a "report card" type of evaluation, will force the university to adopt more formal reviews, including attention to more specific learning outcomes for majors, more feedback from students and alumni, and more public and universal criteria. All this suggests that the sort of "mission-performance indicators" employed for the budget reductions in the College of Letters & Science may become a routine component of program review across the campus. One administrator hints that "problem departments" may be reviewed more frequently than every ten years.

The Committee on Teaching Quality, Evaluation, and Rewards set in motion other activities that have the potential to affect unit incentives and rewards. While this committee focused its attention on "resident" instruction, it also recognized the increasing importance of outreach to the university's mission, and so recommended creation of a parallel ad hoc Committee on Outreach Teaching and Scholarship. The Provost's Office and the senate executive committee did so almost immediately, to "explore ways to strengthen scholarly contributions to application through outreach." The steering committee for this project includes James Taylor, Joe Corry, and Alan Knox, professor of continuing and vocational education. In Knox's words, the outreach committee aims at nothing less than to "reduce the hegemony of discovery-oriented research," by recognizing more fully the scholarship of dissemination and application. UW-Madison is an active participant in the Multidimensional Excellence Project, a collaborative effort among Committee on Institutional Cooperation (CIC) institutions (Big Ten plus the University of Chicago) to broaden the way that scholarship is defined, evaluated, and rewarded; and, like several other institutions in the CIC, the basic strategy at UW-Madison is to gradually make outreach more central to university priorities, and thus more central to faculty work and faculty rewards.

The focus of the resulting Outreach Teaching and Scholarship (OTS) project is change at the level of the individual department. The project aims to identify three to five departments with diverse historical commitments to outreach, and to explore ways of strengthening "multidimensional excellence" in these departments, with an emphasis on outreach as the vehicle for doing so. The expectation is that, by engaging departments in conversations about shifting faculty roles in this direction, a greater sense of collective mission will emerge.

At UW-Madison, what began several years ago as an attempt to reposition the importance of teaching has set in motion a series of initiatives that, singly and together, will focus departmental attention on teamwork and mutual accountability. These include defining faculty roles more clearly within a sharper departmental mission; focusing on "system" problems relating to the teaching at the university; broadening rewards for teaching excellence from the individual to the department; and using departmental collectives to strengthen outreach. These are all "top-down" initiatives. What will make UW-Madison interesting to follow in the future is how these initiatives will interact with a strong institutional culture that preserves disciplinary and departmental autonomy and promotes informal collaboration. Balancing institutional support with decentralized decision making may result in changes that are incremental and perhaps unrelated on the surface, but they are changes that likely will last. □

...

(See the Appendix for the UW-Madison College of Letters & Science's "Strategic Plan: Volume I: 1993-1998.")

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APPENDIX

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FACULTY SENATE COMMISSION ON SCHOLARSHIP

Kent State University

The principles for the evaluation and reward of scholarship relate to the individual within the context of the department, school, college, campus, and university governance structure. An individual faculty member's scholarly work is considered first within the context of the department's mission, and subsequently within the context of the school, college, campus, and university mission.

Principles for the Evaluation and Reward of Faculty Scholarship

1. The scholarship of discovery should be considered in reconceptualizing scholarship.
2. The scholarship of integration should be considered in reconceptualizing scholarship.
3. The scholarship of application should be considered in reconceptualizing scholarship.
4. The scholarship of teaching should be considered in reconceptualizing scholarship.
5. There needs to be consistency/clarity in defining criteria indicative of the types of scholarship.
6. Criteria are developed at the department level and are subject to review and approval at the school, college and provost level.
7. All full-time regular faculty members of the department should have the opportunity to be involved in the development, weighting, and establishment of the criteria; the process should be democratic and public.
8. The issue of the quality of all types of scholarship needs to be addressed by each department.
9. All four aspects of scholarship need to be considered/rewarded at the department level.
10. There should be consistency in the application of departmental criteria for merit, promotion and tenure over time.
11. The University should ordinarily be expected to support department decisions about indices of scholarship, weighting of categories, and recommendations for merit, tenure and promotion.
12. The major locus of decisions related to recommendations for merit, tenure and promotion should be at the department level subject to review and approval at the school, college and provost level.

13. Departmental criteria of scholarship need to be comprehensible to members of other disciplines.

14. Criteria should respond fully to the diverse aspects of faculty roles.

15. Weighting of criteria may differ for faculty with differential roles and rank.

16. Units housing regional and main campus faculty should account for differential role functioning in their definition of criteria for scholarship.

17. There needs to be an external review process to insure the integrity of the application of departmental criteria and provide an appeal mechanism.

18. The criteria for rewards should be congruent with one another (promotion, tenure and merit).

19. Only criteria that have been incorporated into policy may be used in decisions for tenure, promotion and merit.

20. A threshold of "good citizenship" (service activities not necessarily tied directly to one's special field of knowledge) should be established by each department and be required of all faculty.

Faculty Senate
10/12/92

Realignment Plan

and

Plan of Work

Rochester Institute of Technology
College of Business

Richard N. Rosett, Ph.D.
Dean

September 25, 1992

Memo from Dean Rosett

ROCHESTER INSTITUTE OF TECHNOLOGY
COLLEGE OF BUSINESS

DATE: September 25, 1992
TO: Faculty and Staff in the College of Business
FROM: Richard N. Rosett, Dean

To remain competitive, we must focus on the recruitment, learning, retention, and placement of our students. The strategy we have chosen to guide us is Quality Management Education. QME is the integration of Total Quality Management into our curriculum and its adoption as our operating principle in everything we do. Practicing TQM calls for an organizational structure focused on the customer.

The realignment plan presented on the following pages is the second major step in our progress toward QME. It is consistent with our Vision and Values and it reflects my conviction that progress in our quest for quality demands the entire creative and intellectual power of faculty, staff, students and our other customers and partners.

I welcome any comments or suggestions that will facilitate the implementation of this plan.

RIT

Realignment Plan Drivers

This plan is driven by our Vision and Values:

Our Vision

The RIT College of Business will distinguish itself nationally and internationally as the premier source of graduates fully prepared for employment by organizations committed to Total Quality Management.

- We will adhere faithfully to the philosophy and practice of TQM in serving our customers, both internal and external.
- Our customers include students, employers of our students and graduates, students' parents, alumni, co-workers within the College of Business and other colleges, and administrative units within the Institute.
- TQM practices, principles, and concepts will be integral to our curriculum.
- We will encourage, support, and reward research directed toward understanding, explaining, and enhancing the management practices associated with TQM.
- We will pioneer the application of TQM to the teaching process. In retention of students, in their mastery of our curriculum, and in their satisfaction with the quality and delivery of their education, we will set an example for all of higher education.

Our Values

Our conduct must command respect for its integrity.
We must set an example for our students and for
all our colleagues in higher education. These
are the values to which we commit ourselves.

Continuous Improvement
is everyone's responsibility. We must constantly
encourage change and strive for improvement, setting
new standards for excellence in everything that we do.

Teamwork
is integral to everything we do. In teaching,
in serving our students and their future employers,
and in fulfilling the requirements of our co-workers,
we promote the involvement of everyone who can contribute
to continuous improvement.

Openness and Mutual Trust
Are imperative in our dealings with one another and
with our customers.

Frequent Two-way Communication
throughout the college is critical in our
challenging environment.

Immediate Action
is essential. We have chosen to lead in a rapidly
changing educational environment. We cannot wait for
someone else to show us the way.

Forthright Dealing
with our colleagues, our students and their future
employers, our alumni, and the schools on whom we depend
for students is required for long-term success.

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Curriculum Development: 1991-92 and in 1992-93

In 1991-92, six teams reviewed the curriculum for six of our majors. These curriculum development teams used the quality improvement process to identify student and employer customers and to determine their requirements. Integration of customer requirements with the experience and knowledge of the faculty resulted in the submission of six curriculum proposals: one each from accounting, finance, international business, information systems, management, and marketing.

During April and May, 1992, the Curriculum Committee examined proposals and established a common core. The committee reviewed a proposed core with team leaders in May. In July and August, faculty members drafted course outlines for program teams to evaluate. In October, the committee will make a formal recommendation to the faculty. The new curriculum will be implemented in September, 1993.

In 1991-92, the primary target of our collective improvement effort was the core of the curriculum. In recognition of the interdisciplinary nature of the core, interdisciplinary teams were formed to assure development of an appropriate foundation for a student's business education at RIT. In 1992-93, restructured teams will focus on the major, courses in the major, and full-time, part-time, and evening students in the major.

Teams and committees in 1992-93 will be cross-functional. In addition to faculty from the disciplines in the college, professionals from such functions as Student Affairs, the Graduate Office, NTID Business Support Team, and the Placement Office Business Team will be assigned to teams and designated committees. Each of these functions has an interest in ensuring that we meet the requirements and expectations of our student and employer customers.

The Customer

We have many customers. They are both internal (within the College of Business and RIT) and external (the broader community). Our customers include students, employers of our students and graduates, students' parents, alumni, coworkers within the College of Business and other colleges, and administrative units within the Institute. The college has identified its customer groups in a College of Business Customer Grid (see Appendix E).

High-Performance Teams in 1992-93

We challenge any group of individuals who work together in 1992-93 to function as a high-performance team (see Appendix A for attributes/values of a high-performance team). This concept is a synthesis of our Vision and Values and the scholarly work of Buchholz & Roth (How to Create a High-Performing Team, 1987) and has attributes which correspond with many of our values, e.g., continuous improvement, teamwork, openness and mutual trust, communications, and immediate action. A high-performance team sets goals consistent with college objectives, and establishes and implements strategies.

In 1992-93, program teams (cross-functional groups of faculty and staff) will be involved with students, in a major, from recruitment to placement, establishing lasting relationships with the feeder community colleges from which we draw our students and with the employers who hire them

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when they graduate. High-performance teams focused on our students and operating with a high degree of autonomy in the college must become our norm.

Information Systems: a High-Performance Program Team. The IS Program is an example of a high-performance program team in the College of Business:

1. IS faculty know the feeder schools from which they attract students. They communicate with the faculty at feeder schools. They know who their competitors are.
2. IS faculty advise their students, most of whom they know by name. Informal interaction between IS students and faculty is continuous. As a result, they get frequent feedback on whether they are meeting their students' needs.
3. IS faculty know the employers that provide co-ops for IS students and jobs for IS graduates. They get frequent feedback on whether students meet employer knowledge, skill, values, and attitude requirements. IS faculty have developed relationships with employers which allow them to obtain placement for students in special situations.

We can learn from the IS example. As we move forward, progress towards our Vision is enhanced by an organizational design that enables each student to identify with a team of faculty and enables each team to identify with a group of students. Additionally, the design enables each faculty member to be on a team that has direct contact with students.

Disciplines, Program Teams, and Committees

There will be three types of faculty and staff groups in the College in 1992-93: **Disciplines, Program Teams, and Committees.**

Disciplines. A **discipline** is a self-managed affinity group of faculty. It is responsible for faculty development and the maintenance of intellectual integrity in courses offered by the discipline. A discipline is also responsible for one or more academic programs (also known as majors). Each faculty member in each discipline is responsible for staying current in his/her field and is responsible for the effective delivery of instruction and/or facilitation of learning (see College Performance Norms; see AACSB Standards, "Individual Faculty Responsibilities", page 27, and "Intellectual Contributions", page 30).

Program Teams. A program team, on behalf of the discipline, manages a major. The team focuses on a major and the students in it. The team is responsible for a quality curriculum. Quality is defined as an integration of employer needs, AACSB Standards, and faculty knowledge/experience (see AACSB Standards, page 18). The team is also responsible for improvement and innovation in the teaching and learning processes (see AACSB Standards, page 26). A team consists of faculty in a discipline and professional staff in functions in the College and Institute who are concerned about satisfying the requirements and expectations of our customers.

There will be nine program teams in 1992-93: (1) six teams based on existing undergraduate majors, (2) a team to consider development of a major in Quality Assurance, (3) a team for the Business Concepts and Directions sequence, and

(4) an EMBA Team.

Charges to the program teams will vary:

1. The Accounting, Finance, International Business, Information Systems, Management, and Marketing Program Teams are charged to:

   A. write course descriptions, objectives, and outlines for courses in the major,

   B. establish partnerships with community colleges and employers,

   C. ensure advising of full-time, part-time, and evening students, and attend COB student recruitment and retention events,

   D. assign faculty and adjuncts to teach courses, resolve student complaints, and

   E. manage funds allocated to the program.

2. The Quality Assurance Program Team

   The Quality Assurance Team, along with the Information Systems Team, is in the Decision Sciences Discipline. It is here that the bulk of the college's expertise in Quality resides, and it naturally follows that these faculty comprise the seventh program team.

   The QA Program Team is charged to:

   A. explore, and develop if appropriate, an undergraduate major or minor, or a graduate concentration, in a technical aspect of Quality,

   B. attend COB student recruitment and retention events,

   C. assign faculty and adjuncts to teach courses, resolve student complaints,

   D. manage funds allocated to the program, and

   E. develop, with the College of Engineering, an interdisciplinary program in manufacturing management.

3. The Business Concepts and Directions Team is charged to:

   A. advise undeclared freshman and sophomores,

   B. aid retention by helping freshman to make the transition from high school to college, and attend COB student recruitment and retention events, and

   C. teach the Business Concepts and Directions sequence of courses.

4. The Executive MBA Team is charged to work with industry partners to develop an EMBA Program and curriculum, focused on Total Quality, for implementation in Summer 1993.

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Committees. Committees differ from program teams. Program teams are ongoing self-managed, cross-functional, groups of faculty and staff focused on students in an existing major or who are charged to develop a program. Committees are cross-functional groups of faculty and staff, and in some cases students, charged to focus on necessary and specific business of the entire college (rather than just a program). Committees generally function for one year. Both teams and committees should strive to function as high-performance teams (see Appendix A).

In 1992-93, ten committees will be charged as follows:

1. Dean's Advisory Committee: to advise and counsel Dean Rosett.
2. COOP and Placement Committee: to (a) review issues raised by the 1991-92 Placement Committee, especially those concerning cooperative education, and make recommendations, (b) create a questionnaire and survey, by late Winter, a sample of final placement employers (last three years) to assess their satisfaction with the knowledge, skills, values and attitudes of our graduates.
3. Course Rating Form: to create a new course rating form that will provide information of interest to students, to program teams, and to individual faculty members. The form should be ready for pilot implementation in Spring Quarter.
4. Graduate Committee: to review and recommend revisions to the MBA to ensure its competitiveness for the next 4-5 years. Gather and consider business requirements in knowledge (traditional, contemporary, future needs), skills, values, and attitudes, and integrate them with the knowledge and expertise of the faculty to recommend an improved MBA.
5. Promotion and Tenure Committee: to review candidates for promotion and tenure and make recommendations to Dean Rosett.
6. Recruitment Committee: to assist the Office of Student Affairs (a) in recruiting students to ensure creation of a larger inquiry pool and conversion rate in 1993-94 than in 1992-93, and (b) to achieve a higher transfer pool and conversion rate.
7. Undergraduate Curriculum Committee: to (a) oversee finalization of the new curriculum, and (b) work with J. Middleton and faculty in sequencing courses and updating Fall 1993-94 course catalogs.
8. Process Review Committee: to review processes that impact (a) undergraduate students (Phase I), and (b) graduate students (Phase II).
9. Suggestion Process Committee: to review alternatives and recommend a process through which all members of the college community can make suggestions on improving quality, get a quick review, and get quick feedback.
10. Communications Committee: to produce a

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newsletter, monitor selected bulletin boards, and aid in the internal communication of matters of interest to students, staff, and faculty.

Assignments

Disciplines. Each faculty member has been assigned to a Discipline (see Appendix C). The economic faculty is assigned to the Finance Discipline and the law faculty is assigned to the Accounting Discipline.

Team/Committee Choices. In addition to the Discipline assignment, each faculty member will be assigned to teams or committees, which is where primary work contributions will be made. Each faculty member is asked to indicate the teams/committees on which he/she prefers to work, using the Team/Committee Preference Form (Appendix B) to rank a 1st, 2nd, 3rd, and 4th choice. Strong consideration will be given to individual preferences as assignments are made. If there is an imbalance between faculty preferences and the needs of teams/committees, no one's preference will be violated without prior consultation. Program teams will include four or five faculty members, where possible, drawn primarily from the associated Discipline.

Number of Assignments. Each tenured faculty member will be assigned to two teams/committees. The two assignments may include a program team and a committee or two committees or two program teams. To enable their preparation for tenure, non-tenured faculty who are not in their tenure review year will be assigned to one program team or committee. Some faculty, after being consulted, will serve on more than two teams/committees.

Discipline/Team Coordination

Each Discipline/Team will select a Coordinator. The coordinator is responsible for arranging meetings of the Team and for coordinating activities of the Team and the associated Discipline. Most decisions that were formerly the responsibility of chairmen are to be made by the Team (which is primarily student-focused) or the Discipline (responsible for faculty development and intellectual integrity of course offerings). The coordinator is not a chairman.

Realigning the Budget

Spending authority, under our former departmental structure, was exercised almost entirely by members of the academic administration: the dean, associate deans, and department chairmen. Consistent with this Realignment Plan, spending authority will be exercised by Program Teams and Disciplines. Each Program Team will have funds at its disposal for use in achieving its student-focused objectives; recruitment, learning, and placement. Similarly, each Discipline will have funds at its disposal for its faculty-oriented objectives: faculty development and maintenance of intellectual integrity in courses offered in response to the requirements of program teams. Spending decisions, like all other decisions of these groups, will be the result of teamwork and the application of the most important TQM principle, know the customers' requirements and expectations and strive to exceed them.

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Building-in Quality

In 1992-93, our quest for Quality will be strengthened with five additional transformations.

Quality Committee: to (1) counsel the Dean on quality initiatives, (2) arrange for faculty and staff development, (3) ensure progress of QME, (4) keep focus on AACSB Reaccreditation, and (5) coordinate comprehensive customer survey (Motorola Challenge) and Baldrige-like assessment planning (Motorola Challenge).

Quality Consultants. In June 1992, twenty-seven COB faculty and staff members attended the TQM University Challenge Program at IBM in Palisades, New York. This included two members from each Discipline. These individuals are asked to serve as quality consultants to their teams to help integrate Quality into their undergraduate and graduate courses and into everything that is done by the discipline or the team or individual members.

Listening to the Voice of the Customer. To remain responsive to the interests and concerns of students, we will make it possible for students to give input and feedback on matters that concern their education in the College of Business.

Each program team and administrative unit is asked to formally seek and receive input and feedback from students two to three times during the year. Options include, but are not limited to, a student team, the club aligned with the major, or an assembly of all students in the major. Program teams (and committees when appropriate) may use similar means to get input and feedback from other internal and external customers.

A committee of faculty, staff, and students will develop a system for all students to give input and feedback--such as a suggestion system.

Students, at their discretion, may form teams to evaluate and propose strategies to enhance their learning and add value to their education.

As in 1991-92, each quarter, telephone surveys will be made of a sample of students for feedback concerning the college's performance.

Input and feedback through these and other means will help program teams and administrative units to continuously improve systems and processes in the college.

Knowing Our Customer Groups. In 1991-92, the college identified in a customer grid (see Appendix E) several customer groups and started a process of asking their expectations of us. In 1992-93, a concentrated effort will be made to develop, retain, and improve relationships critical to the college, using the grid as a guide.

Program Development Officer. A half-time program development officer will be available to faculty and staff in 1992-93. The officer, who will teach half-time, will identify funding, and help prepare proposals on research, training, curriculum development, and faculty and staff development projects, with special attention to Quality-oriented programs.

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Faculty/Staff Development. Faculty and staff have attended two TQM training programs (June 1991, Xerox, a four day Retreat at Keuka College; June 1992, IBM, five days at IBM in Palisades, NY). During the academic years of 1990-91 and 1991-92, approximately 8 faculty/staff workshops were facilitated by TQM practitioners. This year, 1992-93, four hours per month have been reserved for training of all staff, and for the faculty, five to seven workshops on quality and teaching effectiveness will be held.

Operations and Administration

The college will apply the principles of Quality and continuous improvement in administration and operations. A review of operations has been initiated to improve our customer focus, our effectiveness, and efficiency.

The Office of Student Affairs and the Graduate Office. Student Affairs and the Graduate Office exemplify a commitment to Quality. Students loudly proclaim the enthusiasm with which staff in these offices satisfy their requirements.

In 1992-93, Student Affairs and the Graduate Office will become increasingly involved in other aspects of Total Quality Management and continuous improvement. A process management committee has begun a review of processes that impact undergraduate students.

Membership on Teams/Committees. The professional staff in Student Affairs richly contributed to our curriculum development teams in 1991-92. Since most deliberations in which we engage, and decisions which we make, have an impact on students, the value of the input of these professionals is immeasurable. They will continue as members of program teams in 1992-93 to contribute their knowledge of curriculum, procedures, processes, and students.

In 1992-93, professional staff in the Graduate Office, the Office of Student Affairs, NTID COB Support, and the Placement Office will be assigned to appropriate committees.

Secretarial Support. In 1992-93, department secretaries will support program teams in the same way they have always supported departments and department faculty. There will be no changes (1) in the location of secretaries, (2) in level of support to secretaries (student aides, etc.), and (3) in specific secretaries who support individual faculty members. Program secretaries will be supervised by the coordinator of administrative services.

Department secretaries have shown that faculty are the customers whose needs they must satisfy so that faculty can maintain quality performance in teaching, advising, research, and writing. Secretaries are role models in meeting the needs of their faculty and student customers. In 1992-93, secretarial and clerical staff will continue to contribute to the quest for Quality by applying process improvement principles in their work.

Appendix A: Attributes/values of a Self-Managed High-Performance Team in the College of Business

Team Attributes/Values	Teamwork Members accept that one of us is not as smart as all of us.	Shared Responsibility Everyone feels responsible for the success of the team.	Customer Focused Members have a sense of common purpose about why the team exists.
Characteristics	Members help choose goals and methods. Members self-evaluate and peer review. Members are committed to high-performance.	Members have primary duties & accept other roles as well. Members help each other acquire new skills. Members benefit from group and individual accomplishments.	Members are committed to fulfilling their purpose. Members reference their purpose in making decisions. Members practice behaviors consistent with their purpose.
Team Attributes/Values	Frequent Two-Way Communication Maintain a climate of trust, open, and honest communication.	Continuous Improvement Everyone is committed to learning and improving everything that they do.	Openness and Mutual Respect Open and frank and respectful to all members of the community.
Characteristics	Communication among all group members is common. Members are open to giving and receiving feedback. Communication is open and solution oriented. Members are good listeners.	Members focus on long term success & short-term needs. Change is seen as a chance to explore new ideas. Members take advantage of learning opportunities.	Interactions occur with mutual respect.
Team Attributes/Values	Use of Creative Talent Appreciating and applying individual abilities and skills.	Immediate Action Identifying and acting on opportunities and concerns of others.	Forthright Dealing Honesty and integrity are pivotal drivers in all interactions.
characteristics	Members use innovative and creative approaches to problem solving. Members separate idea generation from idea evaluation. Members break through old paradigms.	Group decisions are guided by an agreed upon strategy and process. The team and individuals respond quickly & effectively to the concern of others. Most decisions are achieved through consensus.	Members are candid and frank with each other, and with other individuals. Members constructively challenge the pros and cons of concepts, ideas, and opportunities, and do not attack individuals.

Sources: RIT College of Business Vision and Values Statement, April 24, 1992

Steve Buchholz and Thomas Roth, Creating the High-Performance Team, Wiley & Sons, Inc.: New York, 1987.

Note: This Model integrates Buchholz and Roth's concept of a high-performing team with the Values of the College of Business at RIT.

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Appendix B: Team/Committee Preference Form

Name ______________________ **Tele. No.** ____________________

Instructions

A. You have been assigned to a Discipline (see Appendix C).

B. Indicate your preference for team/committee assignments by ranking up to four choices below.

Teams/Committees

Program Team/Committee	Rank	Program Team/Committee	Rank
A. Accounting Team		H. Course Ratings Form Development Comm	
B. Finance Team		I. Quality Committee of DAC	
C. Information Systems Team		J. Graduate Committee	
D. International Business Team		K. Placement Committee	
E. Management Team		L. Recruitment Committee	
F. Marketing Team		M. Undergraduate Curriculum Committee	
G. Quality Assurance Team			

Return completed form to William A. Howlin.

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Appendix C: Assignments By Faculty and Discipline

Faculty	Discipline	Program Teams/Committees				
Barker	Accounting	Recruitment Comm.				
Gartrell	Accounting					
Kearns	Accounting	Accounting	EMBA Team	Eisenhart Comm.		
Oliver	Accounting	International Bus.	Graduate Comm.	Faculty Council	Policy Council	
Rullan	Accounting	Accounting	Tax Institute			
Russell	Accounting	Accounting	Placement			
Tessoni	Accounting	Accounting	Dean's Adv. Comm.	VandenBrul Award		
Warth	Accounting	Accounting	Bus. Concepts Team	Club Advisor		
Bentley	Decision Sci.	Quality Assurance	Bus. Concepts Team			
Dennis	Decision Sci.	Info. Systems	Dean's Adv. Comm.	Quality Assurance	EMBA Team	Club Advisor
Grant	Decision. Sci.	Info. Systems				
Isselhardt	Decision Sci.	Quality Assurance	Graduate Comm.	Inst. Library Comm.		
Johnson	Decision Sci.	Quality Assurance	Dean's Adv. Comm.	Promotion & Tenure		
Joseph	Decision Sci.	Info. Systems	Course Rating Form	Undergraduate Curr.	Club Advisor	
Mergen	Decision Sci.	Quality Assurance	International Bus. (Wtr-Spr)			
Pray	Decision Sci.	Quality Assurance	Promotion & Tenure	Executive Program		
Stevenson	Decision Sci.	Quality Assurance	Bus. Concepts Team			
Williams	Decision Sci.	Quality Assurance	Dean's Adv. Comm.			
Gold	Finance	Finance	Promotion & Tenure			
Helmuth	Finance	Finance	Undergraduate Curr.	Club Advisor		
Lessard	Finance	Promotion & Tenure	Dean's Adv. Comm.	Quality Comm.	Eisenhart Comm.	
Mattson	Finance	Recruitment Comm.				
Robin	Finance	Finance	Graduate Comm.			
Woerheide	Finance	Finance	Inst. Curr. Comm.	Club Advisor	Suggestion Proc. Comm.	
Ajami	International Bus.	International Bus.	Promotion & Tenure			
Barbato	Management	Management	Course Rating Form			
Barcher	Management	Management	Co-Chair HS Tchrs Prog			
Barnard	Management	VandenBrul Award	Placement Comm.	Undergraduate Curr.		
Bernstein	Management	Management (Fall)	International Bus. (Fall)			
DuBrin	Management	Management	Co-Chr Commun. Coll. Wksp.			
Gehani	Management	Management	Quality Conference	Suggestion Proc. Comm.		

McCanna	Management	Management	Graduate Comm.		
Pearse	Management	International Bus.			
Wilson	Management	Management	Undergraduate Curr.		
Zrebiec	Management	EMBA Team		Quality Comm.	
Fram	Marketing	International Bus.	Quality Cup	Dean's External Adv. Council	
Siewers	Marketing	Marketing	Recruitment Comm.	Club Advisor	
Sorce	Marketing	Marketing	Bus. Concepts Team		
Tyler	Marketing	Marketing	Graduate Comm.	Quality Conference	
Widrick	Marketing	International Bus.	EMBA Team	Graduate Comm.	
Yudelson	Marketing	Marketing	Placement Comm.		
Biser	NTID COB	Course Ratings Form			
Ferrari	NTID COB	Recruitment Comm.			
Walence	NTID COB	Quality Comm.			
DeBack	Placement Office	Information Systems			
Herzberg	Placement Office	Placement Team	Information Systems		
Jablonski	Placement Office	Graduate Comm.	Accounting Team		
Nowill	Placement Office	Management Team	Marketing Team	Placement Comm.	
Perry	Placement Office	Finance Team			
Barlis	Graduate Office	Placement Team			
Becker	Program Secretary	Management Team	Marketing Team		
Burris	International Bus.	Info. Systems Team	Inst. Acad. Coord.	Inst. P-T Adv. Grp.	
Cannarozzo	Dean's Office	Suggestion Proc. Comm.			
Denick	Program Secreatry	International Bus.			
Lathan	Accounting/Fin Sec.	Accounting Program	Finance Program	Process Mgt. Comm.	
Lazarus	Student Affairs	Accounting Team	Finance Team	Recruitment Comm. Lowenthal Advisor Commun. Comm.	
Ozminkowski	Student Affairs	Marketing Team	Management Team	Inst. Scheduling Grp.	Inst. Special Serv.
Powell	Dean's Office	Communications Comm.			
Shaffer	Program Secretary	Quality Assurance	Info. Systems		
Tirrell	Graduate Office	Course Rating Form			
Hope	Graduate Office	Graduate Comm.	Quality Comm.	EMBA Team	Exec. Prog.
Bonvillian	Dean's Office	Quality Comm., Process Mgt. Comm.	EMBA Team, Placement Comm., Suggestion Proc. Comm., Communications Comm.		
Middleton	Students Affairs	Undergraduate Curr., Recruitment Comm., Quality Comm., Placement Comm., Inst. K-12 Proj., Inst. Admissions. Adv. Comm., Scholarship Comm., Process Mgt. Comm. Communications Comm.			
Nowlin	Dean's Office	Quality Comm., Graduate Comm., Undergrad. Curr., Sugg. Proc. Comm., Process Mgt.			

Appendix D: Assignments by Program Teams and Committees

Dean's Advisory Committee Dennis Lessard Johnson Sorce Tessoni Williams •	**Bus. Conc. and Dir. Program Team** Bentley • Barker Stevenson Sorce Warth	**Quality Committee** Bonvillian Hope Lessard Middleton Nowlin • Walence (NT) Zrebiec
Accounting Program Team Kearns • Rullan Russell Tessoni Warth Lazarus (SA) Jablonski (CP) Lathan (PS)	**EMBA Program Team** Dennis Kearns Widrick Bonvillian Hope (GO) Zrebiec •	**Suggestion Process Committee** Rosett • Cannarozzo (DO) Woerheide Geani Nowlin Bonvillian P. Wilson (SA) 2 students
Finance Program Team Gold Helmuth • Robin Woerheide Lazarus (SA) Perry (CP) Lathan (PS)	**Promotion and Tenure Committee** Ajami Gold • Johnson Lessard Pray Sorce	**Communications Committee** Bonvillian Middleton Powell (DA) Lazarus (SA) Lowenthal Group
Information Systems Program Team Dennis • Joseph Grant Wilson Burris (SA) DeBack (CP) Shaffer (PS)	**Course Ratings Form** Barbato Joseph • Biser (NT) Tirrell (GO) Bonvillian 1 graduate student 1 undergrad student	**Process Management Committee** Bonvillian • Cannarozzo (DO) Lathan (PS) Middleton Nowlin
International Bus. Program Team Ajami • Fram Bernstein Mergen Oliver Pearse Widrick Burris (SA) Herzberg (CP) Denick (PS)	**Graduate Committee** Isselhardt McCanna Oliver Robin Tyler • Hope (GO) Nowlin Perry (CP) Widrick D. Holder (employer rep) 1 graduate student	**Library Representative**: Isselhardt **Policy Council**: Oliver **Undergraduate Scholarship**: Middleton
Management Program Team Barcher Bernstein DuBrin • Barbato Gehani McCanna Wilson Nowill (CP) Ozminkowski (SA) Becker (PS)	**Recruitment Committee** Barker • Mattson Siewers Ferrari (NT) Middleton Lazarus (SA) Admissions Rep.	**Quality Conference**: Gehani Tyler **Faculty Council**: Isselhardt Oliver **Institute Curr. Comm.**: Woerheide **Executive Program**: Pray Hope
Marketing Program Team Siewers Sorce • Tyler Yudelson Ozminkowski (SA) Nowill (CP)	**Placement Committee** Barnard Russell Barlis (GO) Yudelson • Bonvillian Middleton Nowill (CP)	**USA Today/RIT Quality Cup**: Fram **Graduate Scholarship**: Hope **VandenBrul Student Award**: Barbato, Barnard, Tessoni
Quality Assurance Program Team Bentley Dennis • Isselhardt Johnson Mergen Pray Stevenson Williams	**Undergraduate Curr. Com.** Barnard Helmuth • Middleton Wilson Stevenson	**Eisenhart Award**: Kearns, Lessard **Other Col. Ten. Comm.**: Oliver, Isselhardt **Co-Chair Comm. Coll. Prog.**: DuBrin **Co-Chair HS Teacher's Prog.**: Barcher

KEY • = Chair or Team Leader (or Discipline Coordinator)
CP = COOP and Placement
SA = Student Affairs
GO = Graduate Office
NT = NTID COB Support
PS = Program Secretary
DO = Dean's Office

Appendix E: College of Business Customer Grid

	Students	Supplier/ Partners	Employer/ Partners	Lost Customers
PROSPECTIVE Potential Customers	• High school students • Comm. college students • Graduates seeking graduate school	• High school counselors • Parents (prospective students) • Comm. College - Faculty - Administrators	• Employers or units that do not hire COB graduates • Employers that provide tuition support, but none of their employees are enrolled in COB	• Accepted/ not enrolled - Freshmen - Transfers
CURRENT Relation-ship Management	• Students within each major (full & part-time, & evening) • MBA students • Non-business students	• Parents (current students) • Employers who support current students • Other COB depts. • Non-COB programs (Administrators/ faculty) whose students the COB services	• Coop employers • Employers who provide tuition support for current students	• Employers who no longer financially support students to attend COB • Transfer-outs - Internal - External
EXTENDED CUSTOMERS	• Alumni		• Employers who have and continue to hire COB graduates	• Employers who no longer hire COB graduates • Alumni - Dissatis-fied

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Selected sections from:

EVALUATION OF RESEARCH AND TEACHING FOR THE PURPOSE OF SALARY DETERMINATION

Department of Economics
Syracuse University
October 27, 1992

I. INTRODUCTION[1]

In his February 17, 1992 report to the faculty, Chancellor Shaw stated clearly his view regarding the importance of the annual review process of all faculty members. He also indicated that departments, schools, and colleges are to have well-documented plans in place to evaluate the teaching, research, advising, and service performances of all members of the faculty and that the plan to allocate salary increments must place equal emphasis upon both teaching and research. Dean John Palmer affirmed these views in his Spring 1992 statement to the Maxwell faculty.

The Department of Economics has a long tradition of faculty evaluation at the time of salary review. The system is well-documented and has been approved by the faculty of the Department. In fact, it appears that little change is necessary to make the system in place adhere to the letter and spirit of the charge given to us by Chancellor Shaw and Dean Palmer. Nonetheless, the process was reviewed thoroughly this past year by an Ad Hoc Evaluation Committee and the Teaching Evaluation Committee. Although these reviews were done partially in anticipation of the kinds of mandates that have been issued by the central administration, the primary reasons for the review are to incorporate the views of the many new members of our Department and numerous lessons learned since the process was last revised in a substantial way, 1988–1989.

This document represents the output of the review processes and our response to the calls from both Chancellor Shaw and Dean Palmer to explain our salary review process. The document contains four additional sections. The next section summarizes briefly the procedures that will be followed in the salary process. Policy regarding the relative importance of teaching and research is stated in the third section. The last two sections focus on the criteria that guide the evaluation of research and teaching.

II. OVERVIEW OF THE PROCESS

Each year the Department Chair is required to recommend salary increases for all members of the Department to the Dean of the Maxwell School. The chair's recommendations rely upon, but are not limited to, the input provided by two major committees: the Research Evaluation Committee and the Teaching Evaluation Committee. A discussion of the responsibilities of each committee is presented in sections IV and V. Here attention is focused on the composition of the committees and the election process.

Both committees include members elected by the Department, ex officio members, and members appointed by the Department Chair. The membership and the election rules for each committee follow:

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[1] The development of this document has benefited from the efforts of many within the Department. The Ad Hoc Evaluation Committee. (Don Dutkowsky, Jerry Kelly, Dave Richardson, and Tim Smeeding) this year's Research Evaluation Committee, (Douglas Holtz-Eakin, Jerry Kelly, and Tom Selden) and the Teaching Evaluation Committee, (Dave Greytak (Chair), Jerry Evensky, Jim Price, Dale Tussing, and Michael Wasylenko) were the groups with whom worked most closely. Their efforts are much appreciated.

A. *Research Evaluation Committee*

1. The committee shall consist at all times of five members. One member shall be the Department Chairperson, serving *ex-officio*. Three members shall be elected by members of the Department as described below. One person shall be appointed by the chairperson as described below.
2. Define "members" to be all full-time, tenure or tenure-track, current members of the Department (currently, in addition to those whose salaries are, at least in part, determined by the Department, "members" would include J. Yinger and L. Schroeder). In every year, the voters will be the members.
3. In the first year, all members of the department shall be candidates—unless they withdraw from candidacy. Ballots with all these names will be given to all members. Voting will be by approval. Each voter assigns a check mark to any member he or she approves. Subject to Paragraph 5, the committee shall consist of the three candidates with the largest number of marks. The candidates with the single largest number of marks shall serve for three years, next highest for two years, and so on. Ties shall be broken by the chairperson.
4. In later years, voting by the same process will occur only to replace the expired term or to replace committee members who have left the committee. Subject to Paragraph 5, election will again be by members approval voting where candidates are all member who do not have continuing terms on the committee. Ties will be broken by the chairperson.
5. If, at any election, usual approval counts would result in a committee with no tenured faculty or no non-tenured faculty, the election to the shortest term vacancy will go to the most frequently marked member of the excluded group.
6. A fifth member of the committee will be appointed each year by the department chairperson. This appointment is intended to improve the representativeness of the committee in terms of research "types."

B. *Teaching Evaluation Committee*

1. The committee shall consist at all times of seven members. One member shall be the Department Chairperson, one shall be the Director of Graduate Studies and one shall be the Director of Undergraduate Studies. All three are *ex-officio* members. Three members shall be elected by member of the Department as described below. One is appointed by the chairperson, as described below.
2. Define "members" to be all full-time, tenure or tenure-track, current members of the Department (currently, in addition to those whose salaries are, at least in part, determined by the Department, "members" would include J. Yinger and L. Schroeder). In every year, the voters will be the members.
3. In the first year, all members of the department shall be candidates—unless they withdraw from candidacy. Ballots with all these names will be given to all members. Voting will be by approval. Each voter assigns a check mark to any member he or she approves. Subject to Paragraph 5, the committee shall consist of the three candidates with the largest number of marks. The candidate with the single largest number of marks shall serve for three years, next highest for two years, and so on. Ties shall be broken by the chairperson.
4. In later years, voting will occur only to replace the expired term or to replace committee member who have left the committee. Subject to Paragraph 5, election will again be by members approval voting where candidates are all members who do not have continuing terms on the committee. Ties will be broken by the chairperson.

5. If, at any election, usual approval counts would result in a committee with no tenured faculty or no non-tenured faculty, the election to the shortest term vacancy will go to the most frequently marked member of the excluded group.
6. A fifth member of the committee will be appointed each year by the department chairperson. This appointment is designed to improve the representativeness of the committee and, especially, help ensure that the data analysis and data base management done by the committee may benefit from the ongoing involvement of someone with a strong interest in the teacher evaluation process.
7. The Department Chair may serve as the chairperson of this committee or appoint the chairperson of the committee from among the elected or appointed members.

III. RELATIVE IMPORTANCE OF TEACHING AND RESEARCH

Salary increases are to be awarded to individual faculty members based upon their performance in teaching, research, advising, and service to the Department, the Maxwell School, the College of Arts and Sciences, the University, and the broader community in which we work. The dominant areas of performance are teaching and research; equal emphasis is placed upon both teaching and research. Advising, which includes a wide variety of activities in which faculty members interact with students outside of regular teaching assignments, is designated as a component of teaching.

Over time, the pool of funds available for salary increases within the Department ought to be allocated in the following proportions: roughly speaking, 40 percent is to be allocated to teaching and advising, 40 percent is to be allocated to research, and 20 percent is allocated based upon the discretion of the chair. The chair's discretionary allotment is intended to reward unusual and extraordinary performances in research, teaching, advising, and service and to respond to various circumstances that require salary adjustments, e.g., outside offers.

This 40-40-20 rule need not be adhered to strictly within each year or among all individuals. Overall performance by the faculty in research or teaching may be relatively strong in research or teaching in a particular year and, as a result, the chair may choose to deviate modestly from these proportions. Furthermore, the rule may not always be applied rigidly among all individuals each year. The chair may decide to alter the weights that apply to specific individuals in particular years who demonstrate excellent performance in one of the categories. Also, the chair may choose to alter the rule in order to encourage a person to undertake valuable activities in one of these areas, e.g., develop a new course or undertake an externally sponsored research project. However, the allocation of the salary pool over several years ought to generate no less than 40 percent of the pool to research and 40 percent to teaching; furthermore, substantial deviations must be well-justified to the Department and the Dean of the Maxwell School.

Four further remarks are aimed to clarify what follows.

- Criteria for salaries are certainly connected with, but in some ways different from criteria for promotion or tenure. Tenure, in particular, depends on issues like the quality of one's teaching, the fit between the teaching interests of the candidate and the needs of the Department, the coherence of one's research program, the fit of one's research program with long-term Department goals and the pattern of output over time that may not be reflected in annual raise decision. A separate document exists that discusses in more detail the department's criteria for tenure and promotion.
- The determination of evaluation criteria is a dynamic process. Each year one of the responsibilities of the Teaching and Research Evaluation Committees is to consider whether aspects of this document need revision. Furthermore, all faculty are encouraged, each fall, to express their best current thinking about criteria to the committees. A more thorough and formal review of the document is expected every three years.

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- It is important to stress that while some aspects of the valuation problem will be expressed in terms of "weights," "discount factors," "gradients," etc., it is *not* intended that we adopt a mechanical approach. There is no unique formula; judgments will and must be made by the Committees and the Department Chair. All proxies are imperfect. All must be applied intelligently. All must be applied with flexibility, understand, and sympathy.
- Finally, consider a very natural question: "If I'm not going to get rewarded for _____, why should I do it?" Committee work, talking with students, proposal writing, refereeing, working on comprehensive exams,...where do they end up being valued? Some, like proposal writing, get rewarded in the future. Some get rewarded by the Deans office. Some get rewarded by good collegial relations. Some is done (refereeing?) out of a sense of personal responsibility. And some are just their own reward. Our intent is not to have a system that places a positive and unchanging weight upon all activities for the purpose of salary determination. This is nether possible nor desirable. Rather, the system is intended to signal as clearly as possible the priorities of the Department and to use the salary process to further those priorities. We think this system, although complex, time-consuming, and controversial, moves us in that direction.

IV. TEACHING EVALUATION

As teachers, Economics Department faculty members serve in multiple activities. Classroom instruction is the most obvious of these activities, although a standard definition of teaching at a university would include other activities such as dissertation advising, curriculum development, training of graduate students as teachers and scholars, and undergraduate advising. A still broader list of teaching activities includes career counseling, informal seminar development, and collegial advice. Although our system of teaching evaluation emphasizes classroom instruction, individual performance in all of these activities is important to the teaching mission of the department and recognized by the evaluation system. The purpose of this section is to spell out the mission and several of the main objectives attached to the department's teaching mission, to identify important characteristics of good teaching, and to set standards and procedures for the evaluation of individual teaching performance.

The remainder of this section consists of three parts. The next part sets out the mission of the department's teaching and advising activity. This is followed by parts that identify the characteristics of good performance, the process used to measure teaching within the department, and elaborate on the responsibilities of the Teaching Evaluation Committee and individual faculty members.

A. *Mission and Objectives of the Department's Teaching Role*

An important aspect of the teaching role of the department within the thrust of the University and the College is to impart the discipline's characteristic orientation. This includes a point of view which emphasizes the interrelated nature of activities; i.e., human behavior can be viewed within the context of a series of systems (e.g., markets), which can be analyzed with theoretically based methods and models.

In teaching undergraduate and graduate students who major in economics, the department seeks to prepare students so that they can operate as economists in the endeavors they may pursue after they complete their study in the department. This involves teaching economics to provide students with the knowledge base, the vocabulary, the tools, and analytical habits which constitute the discipline of economics and an introduction of their application to key policy issues. Undergraduate career selection may include graduate study in economics or another discipline or initiation of a career in the public or private sector. Graduate training is more specifically directed to the production of technical economists; i.e., those who apply the tools and analytical constructs of the profession in their daily work, such as college-level teaching and research. The focus and mission of service courses, those designed for non-majors, is much the same although the emphasis may be more on developing an understanding and appreciation of economics and the insights it can provide in a number of applied areas rather than on technical training per se. The desire of the department at all levels of instruction is to produce high quality, broadly informed, technically able, and analytically astute students.

The teaching role also requires that teachers assist students in educational planning and career selection. To some extent all teachers advise students about learning strategies during the course of consultant about class performance, but teachers have the obligation to assist in the more formal advising activities of the University, College and department. The desire of the department in its advising activities is to assist students in the making of class and scheduling choices appropriate to their skills, abilities, aspirations, and career choices. The expertise required to meet all these needs for the variety of students is much beyond the capabilities of most teachers. However, good advising includes recognition of student needs, knowledge of the programs and facilities to support them, and a commitment that ensures that students are appropriately served.

Stated in more formal terms, the teaching mission of the department is to provide knowledge and information to students who will leave the University with an understanding of the economist's theories, models, and methods and a good sense of how to apply these to business and public policy questions. In even more succinct terms, we seek to help students think like an economist. Furthermore, the department recognizes that its ability to accomplish its teach mission depends on the skills and abilities that the students bring to the endeavor. Thus, the department's product is the *improvement* of student knowledge, ability, and skills and not just their achievement of any particular level. In the jargon of the profession, the department is interested in the **valued added** of its varied teaching and advising activities.

Success in this mission places certain demands on those who teach. Being at the forefront requires that teachers continually update and upgrade the materials they present. The discipline has become so broad that none can be expected to be at the forefront in all areas, but current knowledge in one's specialized areas is necessary if teaching is to be up to date.

Sensitivity to the background and aspirations of students is also necessary if teaching is to be relevant to them. In a tuition-driven university, response to varying student interests and preferences in regard to the content of classes and style of instruction may make for a large body of satisfied customers and for maintaining their loyalties after they graduate. This can be useful in attracting students to the University and the department. These objectives of serving the market and satisfying customers must be viewed with the context of the department's field of specialization, the expertise of its faculty, size of the faculty, and their other responsibilities. Service to these objectives must also be conditioned by the obligation of setting and enforcing standards.

The department's response to student demand at times may take the form of large class sizes. When dealing with larger numbers, good performance will result in larger output, but this may come at the cost of personalized instruction. Thus, dealing effectively with larger numbers may also require extra efforts if the same quality of instruction is to be made available to each student. Alternatively, small classes are frequently viewed as a more effective means to quality instruction although they may require less effort. To the department, the value of smaller classes is that they may allow for more individualized student attention and thereby enhance student performance. On these accounts, class size as well as summary measures of performance may be an element in the evaluation of performance.

The department also recognizes that some results of successful teaching, or at least its calibration, may not be related to improvement in student skills and abilities in a very close way. Two teachers who wrought out the same level of improvement in their students achieve very different levels of success if one stimulates stronger interest, greater effort, and/or whets the student's desire to pursue additional study in the field.

The department also recognizes the value of good relations within the university community. It encourages faculty members to carry out their duties in ways that foster respectful and supportive relations among and between students and the faculty., In this regard, the department values individual efforts to build and maintain a sense of community among its majors.

While it is expected that members of the department share the department's objectives, and while there may be agreement about some of the requisites for success, conformity in—method and style of instruction is not expected. Individual faculty members bring their own personalities and preferences to this endeavor. Some operate best in a lecture mode while others prefer a more didactic or a Socratic approach. Some find problem sets, homework, and term papers to be effective instruments while others stress reading or examinations. The department does not seek to develop a single mode of instruction. Rather, faculty members are encouraged to find that style which works best for them in their efforts to serve the department's teaching mission.

B. *Specific Measures of Good Teaching*

This part attempts to move beyond the rather broad discussion of the teaching mission toward a more specific set of measures of good teaching. This is a difficult chore. We find it useful to divide the measures into two categories. One is a set of measures designed to identify acceptable standards. The other focuses on ways of measuring excellence in teaching, which is less tangible and, hence, more difficult to identify. This section concludes with a discussion of quantity versus quality.

Department of Geography

Policies, Standards and Procedures Regarding Annual Merit Salary Review New Faculty Appointments, Annual Review and Reappointment of Untenured Faculty, Tenure and Promotion

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Faculty Approved
November 11, 1992

Syracuse University
Syracuse, New York

1. Introduction

The professional activities of the faculty of the Department of Geography support and advance the principal missions of the department. These are:

(a) to provide high quality teaching, advising and supervision to undergraduate and graduate students enrolled at Syracuse University (and to visiting students in SU courses).

(b) to produce and disseminate research based knowledge. Such knowledge encompasses original research focusing on new empirical facts, ideas, and theories; scholarship which synthesizes and integrates; the application of geographical knowledge and methods to problems, especially in but not restricted to the public domain; and scholarship which leads to improved teaching and advising. Collaborative research with post-doctoral students and visiting scholars is also seen as part of this mission.

(c) to provide quality professional service to appropriate units in the University (i.e. the department, the Maxwell School, the College of Arts and Sciences, and the University); to the discipline of geography, and relevant cognate fields; to appropriate professional organizations; and to various communities (from the local to the global, where local includes the broadly defined University community as well as that of Central New York and its parts).

Of particular importance to this department is an additional mission—to support through active faculty and student contributions the various degree and non-degree granting programs of the Maxwell School. As a consequence, the faculty of this department are engaged in a wider array of professional activities than would be the case for many other geography departments. Geography faculty, for example, (and this is not an inclusive listing) make important and critically necessary contributions to programs in International Relations, Social Science, Program on Analysis and Resolution of Conflicts, Public Affairs and to other School-wide endeavors. These contributions come in the form of not only formal course teaching (as in IR and the Policy Studies major), including independent study and research supervision, but also in the chairing and membership of student advisory committees, especially those of graduate students. Related to such Maxwell School endeavors is the important support provided by departmental faculty to programs in the College of Arts and Sciences—these include the Honors Program, DIPA, American Studies, Latin American Studies, Russian Studies, African-American Studies, the Undergraduate Research Program, Lower Division advising, and the Freshman Forum. These important activities require explicit, appropriate and careful attention in the merit salary review process.

At the level of the department, teaching/advising and research (as broadly conceived) are given equal emphasis in all aspects of the evaluation of faculty performance and appointments. At the level of the individual faculty member, a degree of flexibility is retained, an essential feature in the evaluation of faculty performance of responsibilities. All faculty members (other than those on research leaves) shall, in consultation with the Chair set annually (i.e. at the commencement of the academic year with an option to review prior to salary recommendations being made) her or his personal distribution of effort amongst teaching/advising, research related work and service. The Chair is responsible for consulting with and advising individual faculty members on how this relative weighting might change over time and how it might be affected by the need to achieve an equal balance between teaching/advising and research work (as broadly conceived) at the department level.

Accomplishments in teaching/advising *and* research work are the principal bases for the allocation of rewards to department faculty. Service to the various entities—as described above (c)—is part of *every* faculty member's responsibility and is taken into account in the reward system. Untenured faculty members are not expected to take on the degree of service work typically done by most tenured faculty. Service of extraordinary quality is explicitly recognized in the reward system.

It is departmental policy to assess performance with regard to these three major aspects of professional work in a multi-year context, with primary emphasis being given to the past year.

2. Annual Merit Salary Review

The allocation of rewards in the form of merit salary increments occurs within the context of the department's principal missions. Accordingly, there are four categories of faculty performance that are explicitly recognized and evaluated in the reward system. They are teaching, advising, research and service. In making recommendations about merit salary, the Chair is guided by the notion that these categories do not form separate and exclusive domains of faculty work but are to be seen as inter-connected and complementary in the professional life and activities of each scholar. Each of the four categories is discussed in turn, followed by a statement on procedures. External recognition of outstanding performance in any or across all of the four aspects of faculty work (in the form of awards, fellowships, etc.) is explicitly taken into account in the departmental reward system.

Teaching: the principal objectives in the evaluation of teaching are to determine the quality and amount of teaching work, as well as to encourage the accomplishment of high quality teaching through rewards and collegial advice. In the annual evaluation of a faculty member's courses, he or she must use at least two forms of evaluation. If a course is repeated during an academic year or subsequent Summer School it need not be re-evaluated that year. Forms of evaluation include a student-based survey; video-taping and critique by CID staff; observation by and written reports from other faculty; self-appraisal; assessment of course content (syllabi, exams, etc.) by colleagues and/or appropriate outside referees. The Department does not require that a common instrument be used in student surveys—faculty are free to develop their own survey instrument (which does not preclude using an instrument that is the same or has much in common with that of a colleague). If a course has a small enrollment (i.e. less than 10 students), an alternative to a student-based survey, as agreed upon by the Chair and instructor, is acceptable. Most, if not all such forms of evaluation allow for an explicit assessment of curriculum development and innovations in both course content and presentation. Evaluation of teaching should show how a faculty member's research is linked to her or his teaching. Particular attention is also given to evidence of curriculum development; instructional improvement grants in support of curriculum development are recognized in the rewards system. The department recognizes that there are benefits to directly and explicitly incorporating knowledge and experience from one's own research into teaching (and also into advising).

Advising: the evaluation of advising is important and is done annually. All advisees are told that any concerns over the quality of advising received may be directed to the Chair. Graduate advisees are asked if they wish to write on an annual basis concerning the quality of advising they receive from a faculty member (either as principal advisor or as a committee member). This letter, which must be signed, is given to the Chair with a copy to the faculty member.

Research: the principal objectives in the evaluation of research work (as broadly conceived) are to determine the quality and quantity of research activity, its significance, and the extent of its dissemination, as well as to encourage high quality research through rewards and collegial advice. The involvement of students, both undergraduates and graduate students is highly desirable and if achieved will merit recognition in the reward system. The principal published forms of research appropriate for performance evaluation are:

(a) books based on original research
(b) research-based articles in leading, refereed journals
(c) books of a synthetic or integrative nature
(d) articles of a synthetic or integrative nature in leading, refereed journals and articles about the practice of teaching in refereed journals
(e) edited collections
(f) essays, of any research form or type, in edited collections
(g) externally funded grants or fellowships in a competitive context
(h) refereed conference papers/proceedings
(i) reports on funded research to sponsors
(j) book reviews
(k) other forms of writing which disseminate knowledge, including textbooks

Although these are not ranked in a precise way, the ordering does reflect broadly the departmental judgment about the relative importance of various forms of research work. The department acknowledges that with changes in educational and information technology, new forms for disseminating the results and products of all forms of research are being created and used. Thus, new and innovative research products are becoming appropriate for performance evaluation. Given that these products are in a rapid state of developmental flux, they are not yet identified. It is anticipated that *with experience*, video- and software-based products, and electronic publications will soon be explicitly recognized in such a listing as this. Also appropriate in a consideration of performance evaluation in research are invited scholarly presentations.

Service: the quality, amount and nature of a faculty member's service is evaluated in relation to merit salary review. When extraordinary service of high quality is demonstrated, this is rewarded. As noted in the introduction to this section of policies, standards and procedures, this department's faculty serve a large range of constituencies. It is incumbent on each faculty member to document these and, working in consultation with the Chair, obtain statements on the quality of his or her service from appropriate individuals. These statements will be provided directly to the Chair with a copy to the faculty member.

Procedures

Given that there is a salary increment, the Maxwell Dean, in consultation with Maxwell Chairs and Directors normally establishes a proportion of that increment for a departmental merit recommendation and award, and the remainder for the Dean's merit award. This action usually occurs in the middle of the second semester. Prior to this, all colleagues are required to prepare a CV update form for the prior calendar year. This form, together with all supporting material held at the department level, is the principal information base upon which merit salary recommendations are made. Similar forms for the two preceding years are also used for relevant information, as well as the current CV (which it is a faculty member's responsibility to maintain—the department recommends that this be done semi-annually). Faculty consult with the Chair as to what properly constitutes other supporting material (this would include, for instance, the detailed results of the evaluation of teaching; reviews and other forms of commentary upon faculty publications or other forms of research dissemination; citation evidence; surveys and letters pertaining to the evaluation of advising; evidentiary material related to the quality, amount and nature of service). The annual CV update forms for each faculty member are made available to all colleagues in a single file in the Department Office.

After the two relevant proportions are established, the Chair invites all faculty to consult on the matter of merit salary. Every colleague is given an opportunity to state his or her views on the merit on recent performance. Following these discussions, the Chair formulates his or her view about recommendations for merit salary in the two categories, departmental and decanal. The departmental merit sum is divided equally into two parts. The first part is divided equally amongst all faculty on the grounds that they will have met a minimum level of performance expected of all full-time faculty. The second part is further divided into two equal parts: (a) teaching and advising and (b) research. This amount is allocated for meritorious performance in these two general categories. Extraordinary service rewards come only from the Dean's sum. A rationale is provided by the Chair to the Dean only. After appropriate consultation between the Chair and Dean, an individual increment is established. Upon the Dean's instruction, the salary letters for the next academic year are released containing a statement of the new salary, reflecting any increment awarded. The Chair then provides all faculty members with a list of the increments for each faculty member. The Chair is also available at any time thereafter for individual discussion about merit salary and performance.

3. New Faculty Appointments

It is the policy of the Department of Geography to appoint the person of highest academic quality and future potential, appropriate to the rank and specialization of the position being filled. We are mindful of the current gender and racial status of the faculty profile and will continue to be proactive in recruiting highly qualified women and geographers deemed 'minority' by federal authorities.

The criteria by which applicants are judged vary, depending on considerations of rank. What is common to all new appointments, however, is that quality and potential quality in research and teaching/advising are given explicit attention in our collective judgment. For appointment at the Assistant Professor level, the successful candidate will have completed a Ph.D. in Geography or a cognate field, will have published at least two articles in refereed journals (or demonstrated through graduate study or other work a very high potential for publication) and will have demonstrated potential to be a teacher and advisor of the highest quality at the university level. This latter criterion may be met, for example, by evidence of teaching effectiveness as a graduate student at another institution. Secondly, the successful candidate will have given evidence of high quality (or potential) teaching in public lectures and seminars as part of the interview process. The potential for effective advising will have been shown through meetings with students and faculty, including those on the Search Committee. For appointment at the Associate Professor level, the successful candidate will have an established record of high quality research, a record which marks her or him as someone with (1) a high probability of receiving tenure at Syracuse University and (2) a high probability of being promoted to Professor based on work done while in rank. The quality of research will be evident in (1) several publications, in either leading, refereed journals or well-received books, (2) by the assessment of departmental faculty and others involved in the search process, and (3) by the external letters of reference. In addition, a successful candidate demonstrates a record of quality in teaching and advising through, for example, student evaluations of courses taught elsewhere, submitted materials (e.g., syllabi, reading lists, etc.) from previously taught courses, the letters of reference, the public lectures and seminars given during the interview process, in meetings with students and faculty, including those on the Search Committee. For appointment at this level, an established record of quality service to institutions, discipline and appropriate communities is also expected as a predictor of likely future contributions.

For appointment at the level of Professor, the successful candidate will be acknowledged as a national and preferably an international figure in the area(s) of specialization identified in the appointment description. This outstanding reputation will be demonstrated by, for example, a series of seminal research articles (as acknowledged in the discipline through commentary, citations, etc.), or by well received books whose centrality and/or contribution to scholarship in the field or specialization is widely agreed upon . The faculty must concur, by simple majority, with the external assessment of the candidate as one of the highest quality, appropriate to the rank of Professor in this Department. In addition to exercising their own professional judgment, faculty take careful account of letters of assessment from external, expert referees. Appointment as Professor also requires evidence of excellence in teaching and advising, as shown in a manner similar to that described for the Associate Professor appointment. Excellence in original research-

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based scholarship and/or the scholarship of synthesis and integration and excellence in teaching and advising are expected for appointment at this level. While a record of quality service is expected (and an exceptional record enhances the likelihood of appointment) in no instance will such a record alone be sufficient to warrant appointment as Professor.

Procedures

Following authorization by the University administrative officers, the faculty consider and vote upon a specific job description for recruitment purposes. A search committee is formed, following University and Maxwell School procedures. It contains appropriate minority, gender, student, and Maxwell School representation (student members are elected from within the resident graduate students). A national and international search is carried out using advertisements, contacts with doctoral departments, and direct approaches to faculty for either their recommendations or personal interest (this latter group always includes a large number of women faculty, as well as 'minority' faculty). Applications are reviewed by the Search Committee; using the criteria set out above, several candidates (typically three or four) are recommended to the faculty for interview. The full-time permanent faculty, all of whom have open access to application files and are encouraged to review these, vote (by secret ballot) on the Committee's recommendation. Changes in the set of those to be interviewed can be made at this time, with majority approval (again via a secret ballot). A student perspective is expressed through the student members of the Search Committee.

All candidates interviewed follow a standard two-day, intensive interview procedure. As well as focusing on research and publications achieved and planned, explicit attention is given to assessing teaching quality. Candidates not only give a seminar type presentation but also give a lecture to an undergraduate class. Following the interview, student opinion is canvassed (via student members of the Search Committee). With this and any other pertinent information (e.g. the views of adjunct faculty, other Syracuse faculty members—depending on the position's specializations) at hand, the faculty vote by secret ballot on the offer of an appointment; a simple majority is required for the appointment process to continue. The department Chair then secures the proposed appointment, subject to the final approval of the relevant Deans and the Vice-Chancellor for Academic Affairs and subject to the approval of a Hiring Proposal by the Office of Affirmative Action.

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4. Annual Reviews of Untenured Faculty and Reappointments

All untenured faculty are reviewed annually as required by university regulations. In the final year of a current contract, a non-tenured faculty member is reviewed as to whether or not her or his present appointment should be renewed and under what specific conditions or terms. The policies and procedures followed are broadly similar in these matters, except that the review is normally more intensive for reappointments. It is department policy to conduct these reviews prior to a re-appointment decision and prior to the tenure recommendation in a full, open and constructive manner. We think it is very important and a matter of fairness that untenured faculty receive clear and consistent communication from colleagues as to their progress towards tenure. Each untenured faculty member shall, in consultation with the Chair, set annually his or her personal distribution of effort amongst teaching/advising, scholarly research work and service. This will guide both the annual review process and the matter of re-appointment. It is the Chair's responsibility to advise the faculty member on how this distribution might be changed over time and how it relates the equal balance required between research and teaching/advising at the department level.

Certain realities merit recognition in the matter of distribution of effort; for instance, in the first and second years of a new untenured faculty appointment, the departmental expectation concerning research-based scholarship is reduced somewhat in recognition of a new colleague's need to develop fully and modify in light of experience his or her teaching portfolio (portfolio means here the four to six courses that will typically be offered by a faculty member over a three year period). Also, it is unlikely that new untenured faculty will have numerous advising responsibilities in their first years at Syracuse. Nevertheless, the quality of any advising done is assessed.

The expectation for scholarship in the first three years of an appointment is for between three to six publications in leading, refereed journals, with a significant proportion being solely authored. Untenured faculty can and should expect advice from the faculty and Chair concerning journal placement. Essays in edited volumes, either original research-based or as scholarly syntheses are also considered an appropriate form of scholarship. A book based on dissertation research or a book based on new, post-dissertation research is also appropriate scholarship and will balance a smaller number of research articles and essays. Other forms of publication are recognized but not given the weight attached to journal articles and essays in edited volumes and singly and/or jointly authored books. It is anticipated that among the initial publications of an untenured colleague holding a first appointment, there will be publications based upon the dissertation research. However, for re-appointment to occur there needs to be evidence of the development of a new research program or topic, or a significant extension of the dissertation topic, with a high probability of publications following from this new research.

By the time of reappointment, untenured faculty are expected to have a fully developed portfolio of teaching including undergraduate and graduate instruction (although the latter is not an absolute requirement). It is also expected that quality in teaching and advising will have been shown via more than one form of evaluation. Consistent with Maxwell School policy, evaluation of teaching and advising are done annually. At least two forms of evaluation are required for each course (if a course is repeated during an academic year or subsequent Summer School it need not be re-evaluated that year). Forms of evaluation used include a student-based survey; video-taping and critique by CID staff; observation by and written reports from tenured faculty; self-appraisal; assessment of course content (syllabi, exams, etc.) by outside referees. The Department does not require that a common instrument be used in student surveys—faculty are free to develop their own survey instrument (which does not preclude using an instrument that is the same or has much in common with that of a colleague). If a course has a small enrollment (i.e. less than 10 students), an alternative to a student-based survey as agreed upon by the Chair and instructor is acceptable. While a principal purpose of course evaluation is to assist the instructor in improving the quality of her or his teaching, evaluations are also used in personnel recommendations and recommendations on salary increments. Thus, evaluation outcomes must be made available to the Chair and/or any review committee established under Department procedures.

The evaluation of advising is important and should be done annually. All advisees are told that any concerns over the quality of advising received may be directed to the Chair. Graduate advisees are asked if they wish to write on an annual basis concerning the quality of advising they receive from an untenured faculty member (either as principal advisor or as a committee member). This letter, which must be signed, is given to the Chair with a copy to the faculty member. It is also available to any faculty review committee.

The department does not place high demands on untenured faculty for service. Where service is given, the faculty member, working with the Chair, will solicit statements on the quality of that service from appropriate individuals. These statements will be provided directly to the Chair with a copy to the faculty member. They are also available to any faculty review committee.

Procedures

In the second semester of an academic year the Chair establishes a faculty review committee (chosen from the tenured faculty) for each untenured faculty member. The untenured faculty member is asked to prepare a file (in consultation with the Chair) for this committee. The file (with its commentary) addresses accomplishments in research scholarship and/or the scholarship of synthesis, teaching and advising, and service (if any). The faculty review committee prepares a written report to the faculty, who also have access to the untenured faculty member's file. Following a review by all the tenured faculty, the Chair prepares a written report to convey both the sense of the faculty and the Chair's view on accomplishments, deficiencies, and progress towards tenure. Both the review committee report *and* the Chair's report are made available to the untenured faculty member who, by signing, indicates that he or she has read and understood their contents.

In the matter of a reappointment, a vote (by secret ballot) is taken on a motion to re-appoint an untenured faculty member. The vote and the interpretation of the vote must be conveyed to the untenured faculty member. Based on this outcome (including guidance by the meeting) of the tenured faculty, the Chair specifies conditions and terms for the reappointment and recommends these to the appropriate Deans and Vice-Chancellor for Academic Affairs.

5. Tenure

The recommendation of the Department of Geography in relation to tenure is made within the context of policies and procedures governing tenure recommendations of the College of Arts and Sciences and of the University. The policies and procedures of the University are to be found in the Faculty Manual (Edition 17, 9/88)) The *policies* of the College of Arts and Sciences are to be found in a document College "Policy Statement on Tenure" which is provided to all members of the faculty. The *procedures* regarding tenure are generally similar to those for promotion and are to be found in two College-approved documents Policies and Procedures Regarding Promotion (1986) and Promotions Policies and Procedures (1988). These are also provided to all members of the faculty. Consistent with these policies and procedures, the recommendation for tenure is a forward-looking recommendation based on an evaluation of past performance in teaching/advising, research and service. This department has high expectations of its untenured faculty members and its standards for tenure reflect these expectafaculty members and its standards for tenur

Given departmental policies, standards and procedures as set out in relation to new appointments, annual reviews and re-appointment, an untenured faculty member should have a clear sense of her or his progress towards tenure. An untenured colleague who lacks such a sense is strongly advised to consult with the department Chair.

There are three aspects of scholarly work or performance that are evaluated in the tenure review: teaching/advising, research , and service. As noted previously, (Section 3, Annual Review and Reappointment of Untenured Faculty), individual faculty can elect annually to allocate the distribution of effort differentially across these principal aspects of scholarly work. Untenured faculty are advised by the Chair, that, over the period leading to the tenure review, they will be required to demonstrate a sufficient balance in their effort so that an informed and reasonable judgment can be made concerning the quality of their effort in each of the three aspects. An individual's choice is tempered by the desire and need of the department to achieve an overall equal balance between teaching/advising and research scholarship. The role of the Chair is obviously important in this regard.

Teaching/Advising: for an untenured colleague, the department expects evidence from the evaluation and review carried out annually (see again Section 3) that the candidate is a teacher and advisor who is judged to be superior in performance. The notion of superior performance is not expressed here in any precise metric but it will guide the tenured faculty in rendering their decision. It also expresses generally the level of accomplishment to be attained by the untenured faculty member. Annual reviews should indicate clearly progress in relation to this standard.

Research Scholarship: for an untenured colleague, the department expects evidence from the review of a cumulative record indicating superior quality in published work, with evident potential to become a national even international figure within the discipline. While the principal emphasis is on quality, a minimum number of published work is expected. The distribution of published work between such principal forms as refereed articles in leading journals, essays in edited volumes and books varies from candidate to candidate. Nevertheless as a guide, the department expects a reasonable number of articles in leading, refereed journals. Recent, past experience of candidates for tenure is a useful guide for the untenured faculty member. If a published book based on dissertation research is part of the corpus, any second book should represent a new research program or topic, *or* a significant development building on the prior book. Books and essays will reduce the number of articles expected. The quality of the work is judged by internal faculty assessments, the statements from external referees, book reviews and other forms of external assessment.

Service: the forms of service are likely to be quite varied. They include in general, service to Department, school, college and the University; the discipline; professional associations; the community (local, regional, national etc.). In no instance can exceptional or high quality service substitute for inadequacies in the performance of teaching/advising and all forms of published scholarship. A quality record of service (as attested to by statements from appropriate principals) can be a positive feature and service is given explicit attention and due recognition in the department's tenure recommendation.

Procedures

Following the Dean's initiation of a departmental tenure review, in accord with College procedures the Chair invites both (a) the candidate and (b) the tenure committee to provide names of potential external referees. The tenure committee is defined as all full-time faculty with tenure. To the fullest extent possible, these referees should be leading scholars at premier institutions and departments, expert in the areas of specialization of the candidate. The Chair also (c) independently selects reviewers. The final set of external reviewers is selected by the Chair with representation from lists developed via (a), (b) and (c). Former graduate students in the department are requested to provide a letter of appraisal based on their knowledge of the candidate's work as advisor, teacher and researcher/writer. Resident graduate students are also invited to participate in a survey and/or provide a letter of appraisal. Typically, numerous former and present graduate students participate in the review process. The candidate, in close consultation with the Chair, prepares appropriate tenure review forms and supporting files, including all items specified in College procedures and/or annual documents from the Dean of the College to Chairs and Candidates. Where appropriate, additional material and appraisals from other individuals or parties are included.

Upon completion of the entire file, including the solicited external letters of reference, the tenure committee is asked to review the file. A record of consultation is kept by the department Chair. The tenure committee meets at the call of the Chair to discuss the case and make a recommendation for or against tenure. A vote is taken (by secret ballot). Committee members are urged to express their sentiments in writing on ballots; this assists the Chair in the interpretation of the vote. The vote is tallied and reported at the meeting. Subsequently, the Chair informs the candidate of the vote and provides an interpretation of the vote. This is done both orally and in writing. The candidate is also informed of his or her right to appoint an advocate who may appear before the College Committee on Promotion and Tenure. The Chair prepares the documentation of the case, consistent with College procedures and guidelines in the annual tenure/promotion documents from the College Dean to department Chairs, and forwards the recommendation.

6. Promotion

The recommendation of the Department of Geography in relation to promotion is made within the context of policies and procedures governing promotion recommendations of the College of Arts and Sciences and of the University. The *policies* and procedures of the University are to be found in the Faculty Manual (Edition 17, 9/88). The *policies* and *procedures* of the College are to be found in two College-approved documents Policies and Procedures Regarding Promotion (1986) and Promotions Policies and Procedures (1988). These are also provided to all members of the faculty. Consistent with these policies and procedures, the recommendation for promotion is a forward-looking recommendation based on an evaluation of past performance in teaching/advising, research and service.

Consistent with these policies and procedures, the recommendation for promotion is a recognition of accomplishment for which the merit of an individual's work is the sole criterion. The recommendation is based on an evaluation of accomplishments in three aspects of scholarly work or performance: in teaching/advising, research, and service achieved while in present rank. This department has high expectations of its faculty members and its standards for promotion reflect these expectations. In general terms, the standards for promotion from within the faculty ranks are similar to those pertaining to new appointments.

Promotion to Associate Professor

For promotion to this rank, a faculty member will be judged on accomplishments in teaching/advising, research scholarship and service. While in rank as an Assistant Professor, the faculty member will have established a pattern of differential effort in these three aspects of scholarly work. This will be taken into account by the Chair and promotion committee in making a recommendation. To be recommended for promotion to this rank, the successful candidate will have an established record of high quality research, a record which also suggests that this person will have a high probability of being promoted to Professor based on subsequent work done while in this rank (i.e., equivalent to being a scholar with a national, even international reputation within the discipline). The quality of research will be evident in (1) several publications, in either leading, refereed journals or well-received books, (2) by the assessment of departmental faculty and others involved in the review process, and (3) by external letters of reference. While the principal emphasis is on the quality of research, the guidelines on quantity provided in the statement of standards re Tenure (see Section 4, Tenure) also are applicable to promotion to this rank. In addition, a successful candidate will have established a record of superior quality in teaching and advising. In the annual evaluation of teaching and advising, at least two of several forms of evaluation must be used for each course; these may vary from year to year. Forms of evaluation include, a student-based survey; video-taping and critique by CID staff; observation by and written reports from tenured faculty; self-appraisal; assessment of course content (syllabi, exams, etc.) by outside referees. The Department does not require that a common survey instrument be used in student surveys—faculty are free to develop their own survey instrument (which does not preclude using an instrument that is the same or has much in common with that of a colleague). If a course has a small enrollment (i.e. less than 10 students), an alternative to a student-based survey, as agreed upon by the Chair and instructor, is acceptable. For appointment at this rank,

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an established record of quality service to the department, School, College and/or University discipline, professional associations and appropriate communities is also expected as a predictor of likely future contributions.

Promotion to Professor

For promotion to this rank, a faculty member will be judged on accomplishments in teaching/advising, research scholarship and service. While in rank as an Associate Professor, the faculty member will have established a pattern of differential effort in these three aspects of scholarly work. This will be taken into account by the Chair and promotion committee in making a recommendation.

For promotion to Professor, distinguished accomplishments in teaching/advising and research-based scholarship are required. These accomplishments will have earned the candidate a national and preferably an international reputation as attested to in external letters of assessment from expert referees. The excellent quality of the candidate's publication record while in rank will be demonstrated by, for example, a series of seminal research articles (as acknowledged in the discipline through commentary, citations, etc.), or by well-received books whose centrality and/or contribution to scholarship in the field of specialization is widely agreed upon. Promotion to Professor also requires evidence of excellence or superior quality in teaching and advising as shown in a manner similar to that described above for promotion to Associate Professor. Excellence in original research-based scholarship and/or the scholarship of synthesis and integration and excellence or superior quality in teaching and advising are expected for promotion to Professor. While a record of quality service is expected (and an exceptional record enhances the likelihood of appointment) in no instance will such a record alone be sufficient to warrant promotion to Professor. Such a record will be demonstrated in a manner similar to that described above for promotion to Associate Professor.

Procedures

In this department, faculty members initiate departmental reviews of their accomplishments in regard to promotion. This may be done on two levels. The first is a review by the promotion committee and the Chair of a candidate's current CV and last three annual CV update statements to ascertain whether or not the candidate should be advised to proceed with a full review. The second is a request for a full review.

Once a full review is initiated, the Chair invites both (a) the candidate and (b) the promotion committee to provide names of potential external referees. The promotion committee is defined as all faculty members holding the rank for which a candidate is being considered. To the fullest extent possible, these referees should be leading scholars at premier institutions and departments, expert in the areas of specialization of the candidate. The Chair also (c) independently selects reviewers. The final set of external reviewers is selected by the Chair with representation from lists developed via (a), (b), and (c). Former graduate students in the department are requested to provide a letter of appraisal based on their knowledge of the candidate's work as advisor, teacher and researcher/writer. Resident graduate students are also invited to participate in a survey and/or provide a letter of appraisal. Typically, numerous former and present graduate students participate in the review process. The candidate, in close consultation with the Chair, prepares appropriate promotion review forms and supporting files, including all items specified in College procedures and/or annual documents from the Dean of the College to Chairs and Candidates. Where appropriate, additional material and appraisals from other individuals or parties are included.

Upon completion of the entire file, including the solicited external letters of reference, the promotion committee is asked to review the file. A record of consultation is kept by the department Chair. The promotion committee meets at the call of the Chair to discuss the case and make a recommendation for or against promotion. A vote is taken (by secret ballot). Committee members are urged to express their sentiments in writing on ballots; this assists the Chair in the interpretation of the vote. The vote is tallied and reported at the meeting. Subsequently, the Chair informs the candidate of the vote and provides an interpretation of the vote. This is done both orally and in writing. The candidate is also informed of his or her right to appoint an advocate who may appear before the College Committee on Promotion and Promotion. The Chair prepares the documentation of the case, consistent with College procedures and guidelines in the annual promotion/promotion documents from the College Dean to department Chairs, and forwards the recommendation.

ACADEMIC PLAN
# of the
COLLEGE OF NATURAL RESOURCES

"The growing human population and its increasing use and misuse of resources are exerting tremendous pressures on Earth's life support capacity. Humankind must now develop the knowledge required to conserve and wisely manage Earth's resources. Citizens, policy-makers, resource-managers, and leaders of business and industry all need to make decisions concerning the Earth's resources, but such decisions cannot be made effectively without a fundamental understanding of the ways in which the natural systems of Earth are affected by human activities.[1]

April 9, 1992
This document supersedes all other drafts, plans and reports

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[1] The Ecological Society of America's "The Sustainable Biosphere Initiative: An Ecological Research Agenda", 1991.

EXECUTIVE SUMMARY

Growing urban populations place increasing demands upon California's natural resources, resulting in conflicts over management objectives and land uses, and degradation of the environment. Within the University of California, the Berkeley Campus is best situated to focus on the problems and opportunities of balancing these competing demands. Its location between the agricultural lands of the Central Valley and the urbanized San Francisco Bay area is ideal. Campus programs in the natural sciences, social sciences, and engineering are among the nation's finest, and they attract outstanding students and faculty. The College of Natural Resources has a long-standing tradition of excellence in responding to real-world problems. Its multidisciplinary faculty of biological, physical, and social scientists is uniquely suited to address these natural resource issues regionally and globally.

The reorganization presented in this plan will enable the College to meet the challenge of sustainable utilization of natural resources:

- by producing well-educated graduates from its instructional programs;
- by raising the scientific literacy of students from other programs with respect to natural resource issues;
- through faculty research that increases knowledge;
- through Cooperative Extension programs that transfer and disseminate this knowledge to society;
- and by complementing, but not duplicating, the programs of the Davis and Riverside campus units of the Division of Agriculture and Natural Resources.

To attract outstanding students and provide them with the training to solve critical environmental and resource problems, and to promote more effective interaction among the faculty, the College will be reorganized into four departments: 1) Plant Biology, 2) Environmental Science, Policy and Management, 3) Agricultural and Resource Economics and Policy, and 4) Nutritional Sciences. The College will design appropriate courses and curricula to develop the leadership required to conserve and wisely manage earth's resources and to raise the environmental and scientific literacy of all students on the Berkeley campus. An Institute for Natural Resource Systems will be formed to allocate support competitively to specific projects on the basis of merit, to facilitate faculty centers of expertise, and to attract talent from elsewhere on the campus. Cooperative Extension personnel will continue to be assigned to the departments to ensure that CNR's faculty effectively transfer their knowledge to society.

MISSION STATEMENT

The mission of the College of Natural Resources at Berkeley is: 1) to engage in teaching, basic research, and applied research that integrate the natural and social sciences to address ecological problems in rural and urban systems, including those in agriculture, urban landscapes, rangelands, forests, wetlands, and watersheds; 2) to evaluate the complex interaction between the natural environment and society, and to recommend policy that will meet fundamental human needs; and 3) to serve the public by transferring research findings to society. These efforts will increase knowledge, promote the sustainable utilization of natural resources, and provide the foundations of wise and responsible environmental management.

MAJOR INITIATIVES

For the College to carry out its mission, the following steps will be taken:

- Academic departments will focus on undergraduate teaching in four areas: i) the biology of plants; ii) the interplay of the biological, physical, and social dimensions of environmental problems; iii) the economic dimensions of natural resource systems; and iv) nutrition. Accordingly, the College will reorganize into four departments, concentrate its instructional efforts on fewer undergraduate majors, and expand its role in the instruction of undergraduates in the College of Letters and Science and other schools and colleges.

- Organized research support will be consolidated in an Institute for Natural Resource Systems. A committee of eminent faculty will be appointed to assist in the allocation of this support competitively to well-defined projects based on merit.

I. COLLEGE STRUCTURE

The College's eight existing departments will be reorganized into four departments. The reassignment of faculty from existing departments to the new departments is illustrated in Figure 1. The actual faculty assignments are shown in Table 2. The College's 11 existing undergraduate majors will be reorganized into seven majors, each administered by one of the new departments, as shown in Table 1. Some of these reorganized majors will have areas of emphasis to highlight areas of high student demand and to reflect the disciplinary breadth of the administering department.

College departments will be responsible for managing the Instruction and Departmental Research (I&R) budget, extramurally supported individual faculty research grants, I&R space, teaching assignments and curriculum, graduate student support, and the general administration and well-being of the faculty, students and staff in the department. Each new department will develop its own academic plan in support of its request for new faculty FTE positions. These plans will be consistent with the mission of the College, the goals of the campus and the Division of Agriculture and Natural Resources, and will continue to implement the College's program in affirmative action.

A divisional structure is tentatively proposed for the Department of Environmental Science, Policy and Management. Faculty are identified in Table 2 as "belonging" to a single division, but this should not be interpreted as precluding membership in more than one division. Indeed, the faculty of this department may exercise their right to organize the department in some other fashion (e.g., by programs). Whatever internal structure is developed will of necessity be a permeable one, designed to enhance flexibility and collegiality among the members of the department and to facilitate appropriate management of the department's educational programs.

Standards and procedures for joint appointments of faculty between departments will be established, and joint appointments with faculty from other campus departments will be encouraged.

II. TEACHING

This academic plan emphasizes undergraduate teaching. With its focus on natural resources and environmental management, the College is in a unique position to complement and support the strengths of the Berkeley campus in the biological and physical sciences, engineering, chemistry, economics and policy. The applied research experience of the College ensures that many faculty will have the kind of grounding in real-world problems that readily excites the interest and imagination of students. Undergraduate students seeking to integrate and apply analytic perspectives will benefit from the interdisciplinary approaches that characterize the College. The College will provide the Berkeley campus with a revitalized undergraduate program that educates students in areas of increasing importance to society, and graduate programs that contribute to the solution of critical problems in water, land and plant use management. The College faculty will expand their contributions to joint teaching with colleagues in related disciplines, particularly in areas where they possess expertise not found elsewhere on the campus. The College will develop and document teaching "portfolios" for individuals, divisions, departments, and the College to improve instructional and recruitment planning. Achieving these ambitious goals, however, will require the complete restructuring of the College's instructional programs as outlined in this plan.

A. Undergraduate Majors

The College of Natural Resources currently offers eleven majors, several of which have chronically low enrollments, resulting in less-than-optimal utilization of the College's instructional resources. Therefore, the College proposes to consolidate its existing majors into seven majors-- Genetics and Plant Biology; Environmental Science; Conservation and Resource Studies; Forest and Rangeland Management; Nutrition and Clinical Dietetics; Nutrition and Food Science; and Environmental and Resource Economics (Table 1). This consolidation is partly the result of, and partly the rationale for, the administrative restructuring described above. The consolidation of majors will eliminate duplication among College programs, improve advising, and foster the development of the College's identity as an instructional unit.

The proposed reorganization of undergraduate majors, revision of existing graduate programs, or creation of new graduate programs will, of course, require faculty approval as outlined in the College and Senate By-laws and Regulations, and administrative approval as outlined in the campus Handbook of Academic Program Review.

The College recognizes the need for coordination of the proposed Environmental Science major with the existing major by that name offered in the College of Letters and Science, and will begin iimmediately to explore the opportunities inherent in our mutual interest in the broad field of environmental science.

B. Core Undergraduate Curriculum

Two lower-division tracks for the College will standardize the course requirements for College majors. A common lower division track will prepare students entering the Environmental and Resource Economics major and the Conservation and Resource Studies major. Another track entailing greater preparation in the biological and physical sciences will prepare students entering the Environmental Science; Genetics and Plant Biology; Forest and Rangeland Management; and the Nutrition majors. A common lower-division course will be developed and required for students in all College majors. It will focus on broad and critically significant topics in conservation and natural resources. Additionally, the College will offer several "10-level" courses each semester as a mechanism for providing general education in environmental science, resource management, genetics and plant biology, and nutrition to students campus-wide. Outstanding instructors from the College will be invited to develop and teach these courses, which will be structured to satisfy L&S breadth requirement guidelines.

C. Coordination of Undergraduate Programs of Instruction

The departments of the reorganized College will be administratively responsible for undergraduate majors. The chair of each of the four departments will have the customary authority of a department chair to assign faculty to teach courses. All professorial appointees in the College, regardless of their IR/OR splits, will be held accountable for equivalent contributions to the College's teaching programs.

From the Academic Senate's perspective, the College's Committee on Courses and Curricula will play a key role in facilitating the coordination required to achieve high visibility for College courses through appropriate catalog listings and course descriptions. It will immediately consider the desirability of a consolidated listing of all courses administered by the College in a single section of the General Catalog. Overall administrative authority for coordination of instructional programs will rest with the Associate Dean for Instruction and Student Affairs.

D. Graduate Education

The objectives of graduate education in the College are: (a) to impart advanced education in disciplines related to the preservation, management, and restoration of natural and agricultural systems, (b) to develop critical abilities and the broad-based knowledge necessary to integrate concepts and to understand the context in which a particular discipline relates to the larger sphere of resource issues, (c) to impart the capacity to conduct and present independent, original research in an area of specialization using advanced methods and techniques, and (d) to offer experience in teaching at the university level.

Graduate education in the reorganized College will be carried out through graduate groups with appropriate administrative support and space to house graduate students. This will be necessary to balance the need for visibility at the disciplinary level in the four departments against the need for interdivisional participation in graduate teaching and instruction. The proposed administrative structure of the four departments will facilitate collective consideration of graduate applications by several graduate groups, strengthen the quality of graduate students, decrease competition between departments for outstanding students, and permit coordination in developing financial aid/fellowship/scholarship packages and in the allocation of GSI and GSR positions.

Several of the graduate programs in the College do not currently have a core curriculum, resulting in the need for graduate students to meet requirements by enrolling in upper division undergraduate courses. Under this plan all graduate programs will include a core curriculum which is broadly based and integrative, but organized so that all incoming students to the program gain an effective overview of the field with the depth required at the graduate level.

E. Administration of Existing Degree Programs

Until the new majors and curricula are approved, students will continue to be admitted to the existing majors. With respect to University articulation agreements, it is anticipated that new students will be admitted to new programs effective July, 1994. Students enrolled in existing majors will then have the option of completing their degrees under either the new or pre-existing majors. Because, as time goes by, it may become increasingly difficult to identify course equivalents to satisfy requirements for discontinued majors, College faculty and staff will make every effort to facilitate completion of degrees by students electing the latter option.

Until all students electing to complete their programs under pre-plan majors have graduated, the following new departments will administer existing majors:

- Plant Biology
  - Plant Biology
- Environmental Science, Policy and Management
  - Bioresource Science
  - Conservation and Resource Studies
  - Entomology
  - Forest Products
  - Forestry
  - Resource Management
  - Soil Environment
- Agricultural and Resource Economics and Policy
  - Political Economy of Natural Resources
- Nutritional Sciences
  - Nutrition and Clinical Dietetics
  - Nutrition and Food Science

III. DEPARTMENTAL STRUCTURE AND MISSION

A. Department of Plant Biology

Students and faculty in the Department of Plant Biology analyze the basic processes of plants and their associated microorganisms. This knowledge is fundamental to the productivity of plants and the genetic and environmental management of agricultural and natural plant systems. Research programs in the department study the many facets of the plant life cycle as well as plant interactions with the physical and biological environment. Research approaches range from whole plant observation to molecular genetics and lessons learned from model plant systems or evolutionary comparison are applied to crop plants. The strength of the department is found in: 1) molecular genetics of plant development, 2) molecular basis of plant and pathogen interactions, 3) photosynthesis biochemistry and molecular biology, and 4) comparative evolutionary biology.

The current faculty of the Department of Plant Biology, which includes four adjunct professors in the USDA Plant Gene Expression Center in Albany, will be augmented by the reassignment of three faculty members from the existing Department of Plant Pathology, and possibly by joint appointments for some of the forest biologists whose primary assignment will be in the Division of Forest and Rangeland Resources in the Department of Environmental Science, Policy and Management.

The faculty in this department will put increased instructional effort in its (renamed) Genetics and Plant Biology major while maintaining their significant contributions to introductory biology and plant diversity courses serving students in the College of Letters and Science. Gaps in the instruction and research program of the department that will receive immediate attention include: 1) cell biology, 2) the organismal physiology of plants, 3) the experimental genetics of plant structure and evolution, and 4) molecular development of filamentous fungi.

B. Department of Environmental Science, Policy and Management

Public attention to conservation and management of the environment has increased markedly in recent years. The impacts of many long-accepted practices are now being examined critically and scientifically. Creation of a Department of Environmental Science, Policy and Management will allow the College to coordinate and strengthen its interdisciplinary approaches to critical urban, agricultural, wetlands and watershed problems. Its faculty will be drawn from the existing departments of Forestry and Resource Management, Plant Pathology, Soil Science, Conservation and Resource Studies, and Entomological Sciences. The faculty will also include two members of the department of Agricultural and Resource Economics and Policy, and one from each other department in the College. These members shall be appointed by the College Executive Committee for terms of two years. This department will administer the undergraduate majors in Environmental Science, Conservation and Resource Studies, and the Forest and Rangeland Management.

1. Division of Conservation and Environmental Policy

This division will serve as the focal point for social sciences (other than economics) in the College. Its founding faculty will be drawn from the existing Departments of Forestry and Resource Management and Conservation and Resource Studies, and ideally by joint appointments for some of the economists whose primary assignment will be to the Department of Agricultural and Resource Economics and Policy. Faculty expertise in the division initially will encompass critical aspects of law, administration, international development, history, sociology and public policy, but several new recruitments will be necessary to achieve a better balance with the research and instructional needs of the college.

The immediate charge to this new unit will be four-fold: 1) develop new undergraduate programs to meet the needs of two kinds of students: those whose primary academic interests are in the social science aspects of environmental and resource management, and social science courses for those whose primary interests are in the natural and physical sciences as they relate to environmental and resource management; 2) create a new graduate program in conservation and development policy that expands the scope of the subject matter beyond the existing graduate program in wildland resource science; 3) establish appropriate ties and working relationships with related units on campus to meet the educational needs of its students and the intellectual and professional needs of its faculty; and 4) identify recruiting priorities to meet College teaching needs in the social sciences that cannot be met elsewhere on the campus or by the founding faculty of the division.

These proposals reflect both the concerns of the social scientists on the College faculty and the

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extensive comment on the draft plan received from students in the Conservation and Resource Studies major. In establishing this unit the College will be emphasizing the social science disciplines as the core of the major, and recognizing increasing national and international concern with the global dimensions of environmental and resource management. The new unit will give the College a stronger and clearer identification with policy and equity issues as they relate to environmental and resource management, and focus interdisciplinary scholarship on the tensions between conservation and development inherent in environmental and resource policy issues.

2. Division of Ecology

This division will provide a sorely needed nexus for ecological research in the College and on the Berkeley campus. Several of the ecologists now holding appointments in Integrative Biology will be invited to hold joint appointments in this unit. Faculty expertise in the division ultimately will broaden, with research programs consistent with those spelled out in the Ecological Society of America's Sustainable Biosphere Initiative, including community and population ecology, global change, biological diversity and sustainability of natural and managed ecosystems. To achieve this breadth, faculty recruitments in several fields will be necessary.

The division will provide a broad range of undergraduate and graduate course offerings in ecology, and move immediately to develop a new graduate program in ecology.

3. Division of Entomology

The faculty of this division will focus on three primary areas of insect science: ecology, physiology (including behavior and toxicology) and systematics/evolutionary biology studying the basic biology of insects, ticks and mites to develop ways these organisms can be managed, with minimal environmental damage, to maximize agricultural and natural resource productivity and to protect human health. An equally important divisional responsibility will be to educate the general public, agricultural and resource managers, and students, about the nature of and solution to such entomologically related problems as contamination of the biosphere with pesticides, loss of biodiversity, and meeting increasing demands for natural and agricultural resources.

The faculty in the Division of Entomology will provide instruction in undergraduate courses defining the Entomology emphasis of the Environmental Science major, but the greater portion of their undergraduate teaching opportunities will continue to be found outside of traditional courses in entomology.

4. Division of Forest and Rangeland Resources

This division has an evolving mission to emphasize systems-based approaches to forest and rangeland management problems characterized by complex interactions among biological, physical and social factors. Discharging this mission will require the timely recruitment of several new faculty in forest biology and ecology.

Research on these problems requires a high-quality and cohesive interdisciplinary faculty. Under the proposed reorganization, the College will foster and sustain effective involvement of social scientists in the Division of Conservation and Environmental Policy and the Department of Agricultural and Resource Economics and Policy with the biological and physical scientists in this division.

Primary responsibility for instruction in the courses central to the professionally oriented Forest and Rangeland Management major will rest with this division.

5. Division of Plant Pathology

The research programs of the faculty initially assigned to this division emphasize plant-microbial interactions and symbioses that affect plant health in the context of sustainable agricultural and forest ecosystems. The division will broaden its scope through new appointments to consider the role of microbes in plant health in natural aquatic and terrestrial ecosystems and to strengthen its position in quantitative epidemiology.

The faculty in this division will take primary responsibility for undergraduate and graduate instruction in environmental microbiology and microbial ecology on the Berkeley campus through the Environmental Microbiology emphasis of the Environmental Science major.

6. Division of Soil and Water Sciences

The faculty of this division will direct their research toward the study of basic soil and water processes that relate to natural and managed ecosystems, both temperate and tropical. Emphasis is placed on the fundamental chemistry, microbiology, pedology, and physics of soils, as well as on the evaluation of soil as a resource for sustainable management. Water science research will encompass the physical and chemical processes characterizing the cycling of terrestrial water at all scales, from the microprocesses of soil water to the global processes of hydroclimatology, as well as include the biological phenomena that interact significantly with the terrestrial water cycle. Research at the process or mechanistic level offers the prospect of basic knowledge to develop lasting, effective solutions to the problems of modern agriculture, commerce, and environmental control as they relate to soil and water resources.

Undergraduate teaching in this division will focus on the Soil and Water emphasis of the Environmental Science major. The Division will develop and teach a core curriculum in soil characteristics and general hydrology.

C. Department of Agricultural and Resource Economics and Policy

The faculty of this department will increase their emphasis on environmental and resource economics and policy and continue their research and instructional effort in the areas of agricultural policy and trade, economic development, and quantitative modeling and analysis of agricultural and natural resource systems.

The existing faculty of the Department of Agricultural and Resource Economics will be augmented by joint appointments for some of the forest economists whose primary assignments will be either in the Division of Forest and Rangeland Resources or the Division of Conservation and Environmental Policy in the Department of Environmental Science, Policy, and Management. The department will recruit additional faculty in environmental and resource economics and the economic aspects of environmental and resource policy, and will replace faculty in quantitative modeling and analysis.

The department will administer the undergraduate major in Environmental and Resource Economics, and will offer lower and upper division economics courses designed to meet the requirements of all other curricula administered by the College and the breadth requirements of the College of Letters and Science.

D. Department of Nutritional Sciences

The need to strengthen the research program of this department has been recognized and this is being done by focusing its research program on the biological aspects of Nutrition. Efforts are being made to strengthen links to the School of Public Health, as well as to the Lawrence Berkeley Laboratory and to other biologists in the College and in the College of Letters and Science. The department will intensify its outreach activities by expanding the program in Cooperative Extension to include specialists in food safety, nutritional status monitoring, and intakes of nutrients of the rapidly changing urban clientele typical of the Bay Area. A Center for the Study of Environmental and Genetic Influences on Food Utilization and Human Nutrition within the Institute for Natural Resource Systems is proposed to provide the necessary framework for collaborative efforts among faculty and CE Specialists from within the College and elsewhere on campus.

Primary responsibility for instruction related to the Nutrition majors will rest with this department. Additionally, faculty with expertise in environmental microbiology and toxicology will contribute to the Environmental Microbiology emphasis of the Environmental Science major, and other faculty will continue to contribute to teaching programs in the Department of Molecular and Cell Biology, the Department of Integrative Biology and the School of Public Health. To meet teaching obligations to the undergraduate programs in nutrition and dietetics and in the graduate nutrition program, new faculty recruits will be sought to replace several recent retirements.

IV. ORGANIZED RESEARCH - INSTITUTE FOR NATURAL RESOURCE SYSTEMS

Although the budget of the Agricultural Experiment Station was separated from that of the academic departments some 20 years ago, these two major components of the College were never functionally divided. This plan proposes to effect a functional separation of these components in order to clarify the distinction between the College's role on the Berkeley campus and its responsibilities to the system-wide Division of Agriculture and Natural Resources. Under this plan the College will form an overarching Institute to focus more effectively on the research mission of the College, respond better to state issues, and draw more broadly from expertise on campus than has been possible in the past. The Institute will coordinate centers, laboratories and programs to facilitate research and to foster interdisciplinary efforts that are unique to the College. Included in the Institute will be the Agricultural Experiment Station and other programs delegated from the Division of Agriculture and Natural Resources, along with other interdisciplinary programs aimed at solving critical problems related to natural resources, agriculture and the environment.

The Dean will serve as Director of the Institute and may delegate day-to-day authority for management to the Associate Dean for Research and Extension, who also will serve as Associate Director of the Institute. The Associate Dean, through the Institute, will facilitate coordination of the research centers, laboratories, and programs (e.g., the Integrated Hardwood Range Management Program) with the College and the campus. Staff personnel and discretionary resources will be assigned to and managed by the departments. An active development office to cultivate broad-scale external grants and gifts for research and outreach will support the efforts of the Institute.

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A. Centers, Laboratories and Programs

The centers, laboratories and programs of the Institute will be flexible organizations with the capacity to respond quickly to research opportunities, new interdisciplinary interests and emerging natural resource problems. These will not become organizations with indefinite lives of their own, but will be reviewed periodically.

The restructuring of research programs into multi-disciplinary centers, laboratories and programs under the Institute will create more opportunities for graduate students to engage in research that crosses departmental boundaries. This structure is in keeping with the types of questions that are currently, or are expected to be, areas of major research interest (e.g., global change, water resource issues, biodiversity).

The College's Forest Products Laboratory (with ties to Engineering), and the Integrated Hardwood Range Management Program will be included in the Institute. A Biological Control Laboratory is in a formative stage. Additional centers, laboratories and programs have been suggested: Plant Protection Laboratory (focusing on insect and disease problems important in the state); Center for Water Resources (built around the existing multi-college water research group); Legal, Social and Institutional Resources (which would bring together social scientists, economists and natural scientists); Center for the Study of Environmental and Genetic Influences on Food Utilization and Human Nutrition (to integrate the work of nutritional scientists with staff in Public Health and Behavioral Sciences); Center for Environmental Assessment and Monitoring (to develop the theory, methods, tools, models and data bases needed to assess the current and projected future condition of environmental systems and to monitor progress of environmental management programs); Center for Soil Science (to integrate research on soil processes in natural and managed ecosystems); and Center for Forest Resources (to integrate and develop the ecological, economic and management sciences for sustainable multi-resource forest production and health).

It is imperative that students and faculty have access to scholars around the world if they are to provide leadership in addressing the problems associated with a rapidly increasing population on a finite earth. A major component of the Institute is expected to be an International Center for Sustainable Development. It is the purpose of this Center to facilitate the exchange of scholars and students between the Berkeley campus and the international scientific community. The College has cooperative agreements with institutions in several countries. Some structure within the College is needed in order to service and coordinate these agreements and to coordinate and provide leadership for the College's international activities.

B. Cooperative Extension

The mission of Cooperative Extension (CE) in the College is to: (1) identify problems and issues of importance in the state ; (2) conduct applied research on these problems; (3) adapt research results to help solve these problems; and (4) extend knowledge to off-campus clientele. CE programs in the College have linkages with other on or off campus knowledge bases. CE Specialists provide statewide leadership on various issues and problems and serve in a coordinating role with other UC campuses and research institutions. They extend knowledge through direct interaction with interested groups and organizations or through the network of county-based offices of the University's Cooperative Extension system.

Berkeley campus CE Specialists will be integral members of each of the four new departments. Since CE Specialists are drawn from the same academic pool as ladder rank faculty, their housing and administration will be within the departments to encourage the maximum possible professional interaction with faculty colleagues. CE Specialists provide insight into clientele problems and help ensure that departmental programs have relevance and applicability, thereby maintaining external support for College teaching and research programs. Teaching and research faculty provide links to cutting-edge research and peer review of CE Specialists' programs, thereby maintaining excellence in the CE program. The review process for CE Specialists, which is essentially the same as for ladder rank faculty, will initiate in the home department.

Departmental academic plans will consider the role of CE in future recruitment requests. The College, which currently has the lowest number of CE Specialists in the Division of Agriculture and Natural Resources, will pursue new CE Specialist positions. It will be unable to fulfill adequately its responsibilities as a land grant institution and extend the full range of its research activities to a diverse clientele without such an effort. CE Specialists also will be important team members in centers, laboratories and programs in the proposed Institute of Natural Resource Systems.

C. Research Committee

The College Research Committee, in accordance with College By-Laws, "advises the Dean and the University community on matters related to research in the College," and will play a prominent role in the reorganized College.

V. RELATIONSHIPS WITH OTHER UNITS AND PROGRAMS

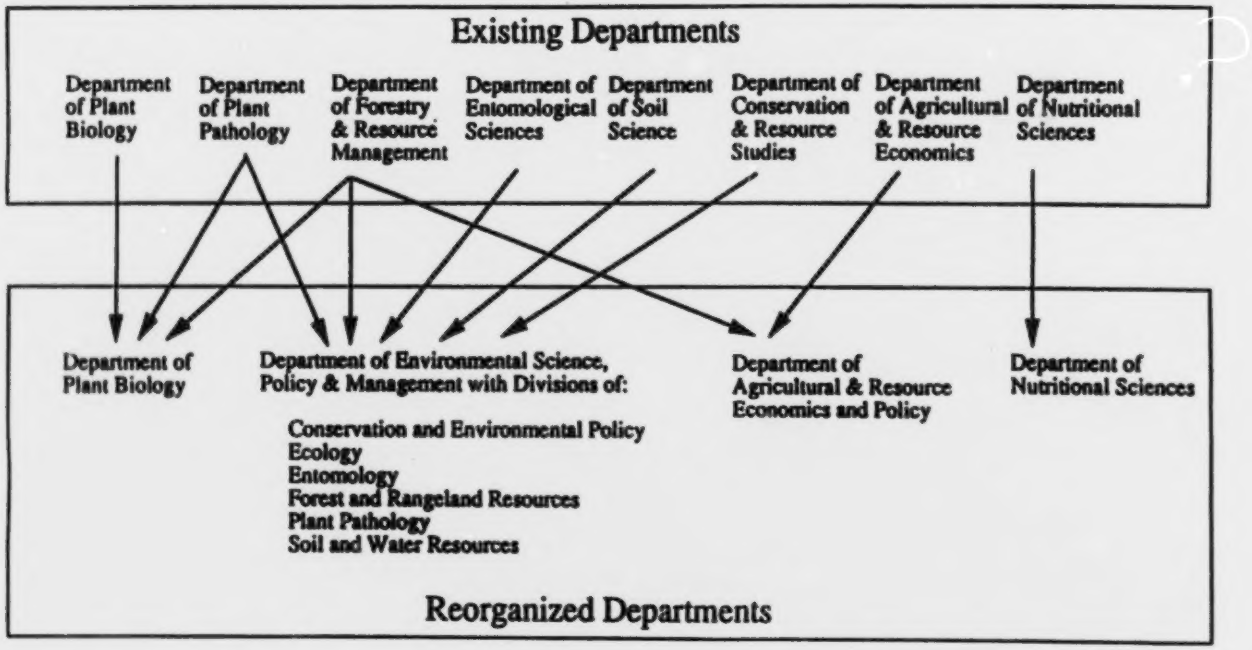
Successful implementation of this plan requires the departments to pursue close working relationships with other Professional Schools and Colleges, and with a number of units in the College of Letters and Sciences, including Economics, Education, Engineering, Geography, Geology and Geophysics, Landscape Architecture, Law, the Graduate School of Public Policy, Public Health, the Haas School of Business, and others. Moreover, the Institute and individual College faculty must develop joint research programs with scientists in those units as well as with colleagues at the Lawrence Berkeley Laboratory, the Lawrence Livermore National Laboratory, the Lawrence Hall of Science, the Jeppson Herbarium, and entities external to the campus such as the East Bay Regional Parks District.

VI. ADMINISTRATIVE SUPPORT AND FACILITIES

Administrative staff support systems for the College's new departments will be organized primarily from current staff of the existing departments and other units. The College's Management Services Officers will recommend a plan for distribution of staff among the newly-structured units, including the Institute for Natural Resource Systems and its centers, laboratories and programs. Opportunities for consolidation of support services will be established to better serve faculty and to meet the objectives of the College mission.

College space and facility planning will be initiated immediately following submission of this plan to the Campus administration. Excellent space and facilities, including modern scientific instrumentation, are crucial to the successful implementation of this plan. With the exception of the Genetics and Plant Biology Building, the five other buildings housing laboratory, office, and teaching facilities of the College are outdated and inadequate. Upgrading the facilities is essential for recruitment of the high-quality faculty needed to implement this plan. Therefore, new space needs will be planned and developed in keeping with the recommended departmental and other institutional realignments. The College will seek to house the new Department of Environmental Science, Policy and Management in a facility with contiguous offices and laboratories. Space for the Institute and its functions also will be planned, financed, and constructed or renovated.

Figure 1. College of Natural Resources Departmental Reorganization


Existing Departments
Department of Plant Biology
Department of Plant Pathology
Department of Forestry & Resource Management
Department of Entomological Sciences
Department of Soil Science
Department of Conservation & Resource Studies
Department of Agricultural & Resource Economics
Department of Nutritional Sciences
Department of Plant Biology
Department of Environmental Science, Policy & Management with Divisions of:
Conservation and Environmental Policy
Ecology
Entomology
Forest and Rangeland Resources
Plant Pathology
Soil and Water Resources
Department of Agricultural & Resource Economics and Policy
Department of Nutritional Sciences
Reorganized Departments

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Majors and Emphases by Administering Department	*Departmental/Divisional Contributions to Majors and Emphases*								
	Dept. of Plant Biology	Department of Environmental Science, Policy and Management						Dept. of Agricultural & Resource Economics & Policy	Dept. of Nutritional Sciences
		Divison of Conservation and Environmental Policy	Divison of Ecology	Divison of Entomology	Divison of Forest and Rangeland Resources	Divison of Plant Pathology	Divison of Soil and Water Resources		
Department of Plant Biology									
Genetics and Plant Biology Major									
Genetics Emphasis	•••							•	
Plant Biology Emphasis	•••			•		•		•	
Department of Environmental Science, Policy & Management									
Environmental Science Major									
Ecology Emphasis	•	•	•••	•	•	•	•	•	
Entomology Emphasis	•		•	•••	•			•	
Environmental Microbiology Emphasis	•		•	•		•	•	•	
Soil and Water Emphasis	•	•	•		•	•	•••	•	
Wildlife Biology Emphasis		•	•••		•		•	•	
Conservation and Resources Studies Major	•	•••	•••	•	•	•	•	•	•
Forest and Rangeland Management Major	•	•	•	•	•••	•	•	•	
Department of Agricultural & Resource Economics & Policy									
Environmental and Resource Economics Major		•	•		•			•••	
Department of Nutritional Sciences									
Nutrition and Food Science Major						•		•	•••
Nutrition and Clinical Dietetics Major						•		•	•••

•	Contribution
•••	Major Contribution

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The Strategic Plan

The most serious reason for this discussion will be found in the conditions of our institutions. Their prosperity is not in proportion to the development of our material wealth, or the increase of our population. . . . Why are many in our country on the verge of bankruptcy? If the people feel education to be their greatest want, why are the colleges begging from door to door? . . . Somewhere, along the electric chain which binds the different classes of the community together, the laborer at his plough, to the thinker in his silent study, there are rusted links. The relation between industry and intellectual cultivation is lost sight of, and this is the true reason why colleges are the petitioners for the patronage they ought to command.

E.S. Carr
Professor of Chemistry and Natural History
University of Wisconsin
January, 1856

That higher education is in its most dire financial condition since World War II is almost unarguable. Two-thirds of the states have revenue shortfalls, and total state appropriations for higher education actually declined in 1991. Federal funds as a proportion of institutional revenue continue their downward slide of the past five to ten years . . .
I do not think things will get better until sometime after the year 2010 . . .

Robert H. Atwell
President, American Council on Education
September 1992

Why a Strategic Plan?

There are few more canny observers of the political economy of higher education than our former Vice-Chancellor and current President of the American Council on Education Robert Atwell. Authoritative words: we do well to heed his prognosis, however gloomy. In their pertinence, they serve as prologue to the strategic plan for the College of Letters and Science.

This document is a carefully drawn blueprint for the College over an intermediate period -- indeed, as far as one can usefully peer into the future. It is intended as a working document, which will structure for the time ahead our ongoing dialogue with departments on needs and priorities. It offers a framework for decision, which can evolve as changes occur in the relative availability of resources.

The plan is also designed to respond to altering organizational requirements in interaction with Campus and System administration. It is a major initiative by the College itself to define and make the changes imposed by circumstance. Although the plan is preoccupied with creating a sound financial base for the College, we hope as well that it will serve larger academic purposes. It will set our departments to the task of reexamining their academic missions in the light of fiscal reality and a smaller student body. This reexamination may even allow branching out into new directions as priorities are more sharply focused. In addition, the plan will serve as a vehicle for explaining our needs to public audiences, or as an instrument in support of the more vigorous development efforts to diversify the College's financial underpinnings.

Our overall approach to planning is governed by the fact that the College is both an outstanding graduate and research institution and a major undergraduate college. Our graduate and research activities are important both in their own right and because they enrich our undergraduate program. In a public research university, the magnitude of research operations is closely linked to undergraduate enrollments. As enrollment management has reduced our undergraduate student body, departments must face the reality of sustaining their graduate programs with fewer faculty.

There is nothing novel in the notion of planning, of course. Our distinguished predecessors as Deans of the College have long adjusted their policies and actions to a changing anticipation of future trends and needs. The muffled echo of the well-turned phrases of our first Professor of Chemistry, cited in the opening epigraph, often returns; as petitioners rather than commanders of public patronage, universities have ever been exposed to the ebb and flow of larger events and fluctuating economic environment.

However, circumstances have never before required formalizing the elements of their policy calculus into an integrated statement covering a three-to-five year period. Indeed, the magnificent legacy of the past vindicates their preference for pragmatic continuing adaptation of policy, in preference to formal elaboration of long-term "plans". A majority of the 45 College departments and schools ranked in the top ten, only a handful failing to reach the top 20; in a 1982 survey carried out by the National Research Council, of the 24 L & S departments ranked, 11 were in the top ten, and only four lower than twentieth. The overall remarkable strength of our College in good measure defines in the public eye the University as a whole.

The academic health of the College shapes our approach to strategic planning. In general our problem is not to create excellence but to maintain excellence in the face of daunting budgetary circumstances. The challenge is to maintain morale and creativity in a prolonged period of financial stringency. The College today is in robust intellectual and academic (if not financial) health. We have more faculty on our roster than at any point in history, and have in the recent years of active recruiting added impressively to our strength. The quality of our student body has significantly improved, and interest in the liberal arts remains predominant even as enrollment management has produced a smaller student body. Various aspects of the campus undergraduate initiatives have tangibly improved the educational environment, dramatically so for freshmen. The honors program grows impressively.

Nurturing these gains, preserving the splendid academic quality of our College, advancing the core role of liberal arts on our campus: these are the fundamental purposes of our venture into formal planning. The perils of the present, the prophecy of the Atwell epigraph, demand a more systematic programming of our resource use for the balance of this millennium. Only thus can we adapt our commitments to our prospective resources in such fashion as to nurture, preserve, and reinforce the extraordinary academic strength of our College.

Recent History

To some extent, development of a strategic plan for the College reflects broader changes in the organizational environment of higher education. A slow but continuous process of professionalization of university administration, a deepening of organizational structures and procedures for ensuring accountability and oversight at all levels (Federal, State, University of Wisconsin System, Campus): such patterns of change compel more elaborate and explicit articulation of goals and needs. In an epoch of sharpening competition for resources, both within the University and in the public sector more broadly, the capacity to effectively document resource claims acquires new significance. Although schools and colleges on our Campus are unevenly affected by current budgetary difficulties, nearly all are actively preparing strategic plans.

But for our College, the most critical catalyst for the formulation of a strategic plan is the painful realization that we have a substantial structural imbalance in our budget. Since World War II, Deans have always had reason for apprehension as to whether commitments were outrunning resources -- save for a few brief years in the 1960s when surging enrollments and uniquely favorable public fiscal circumstances brought a moment of abundance. What is new is the Atwell forecast: no new resources in the 1990s for higher education, irrespective of possible economic recovery. Austerity in the past could always seem a short-term strategy, a challenge to the nimble manager to traverse a momentary resource-need gap, to get from "here" to "there" when better times would bring the bounty to assure balance. No such illusion is now possible; there is no basis whatsoever for believing that relief from stringency lies just over the horizon in a more prosperous tomorrow. Thus we cannot delay responding to the budgetary challenge by retreating into the comforting belief that a return to "normal" solvency will naturally follow.

The realization of the magnitude of the problem crept up upon us gradually, and only began to come into clear focus in 1991. In the middle 1980s, the state was able to provide substantial new resources, first for "catch-up" salary increases in 1985, then in 1987 funding for 60 additional faculty positions for the College. An expectation of expansion of personnel resources became embedded into our budgetary processes, at both College and departmental levels. Although a turn to more recessionary recruitment policies began for the College in 1991-92, and became much more pronounced in 1992-93, only during the current year have we begun a sustained effort to alter assumptions at the faculty level of continued active recruitment, or at least maintenance of staffing levels at their historic peaks, reached for the College overall during 1992-93.

The resource imbalance which began to be sharply felt in 1991-92, when a freeze on capital outlays was necessary to balance the budget, has several causes. Only one of these is the altered prognosis for General Purpose Revenue state appropriations. Here the relentless growth of some formula or entitlement-driven state expenditures -- medical assistance, property tax relief, prisons -- combined with the escalated public resistance to "revenue enhancement" has placed a slow squeeze on state appropriations, to which our personnel outlays are closely tied. Two decades ago, in 1971-72, the University of Wisconsin System received 16.3% of GPR expenditures. Ten years later, this figure had shrunk to 13.9%; today, it is slightly over 11%. The absolute increase in prison expenditures between 1987-88 and 1992-93 was 80%, as compared to 34% for the UW System.

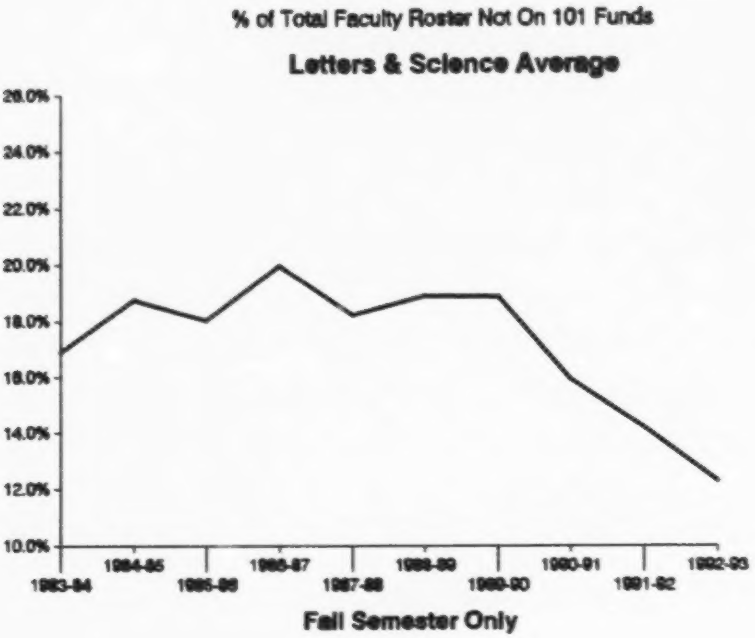
Table I. State funding of higher education

Year Ending	UW System % of total	Medical Assistance % of Total
1972	16.3	3.0
1977	13.8	8.2
1982	13.9	10.3
1987	11.7	9.2
1992	11.4	11.5

Source: Wisconsin Taxpayers Alliance, Your Wisconsin Government, 28 May 1992

Another immediate factor is the sudden, sharp decline in the fraction of our faculty supported on resources other than state-appropriated instructional (101-2) funds. For more than three decades, in any given semester some 18-20% of our faculty drew their salaries from some source other than the 101 budget. The pattern was so stable that budgetary commitments could be prudently premised on such an assumption. Three years ago, this percentage went into steep decline, falling to about 12% for the first semester of 1992-93; each percentage point costs the College about $450,000 in unanticipated personnel outlays. (See Figure I, page 8.) The reasons for this sudden pattern shift are not fully understood. Although the flow of federal research funds to the University overall and the College as well is robust, growing reluctance of federal funding agencies to permit grant monies to pay faculty salaries

Figure I. Percent of faculty roster not on 101 funds



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plays some part; in some departments, faculty may also be less disposed to use their grant funds for this purpose even if it is available. A relative decline in Graduate School Research Committee funding for semester leaves plays some part; perhaps other sources of academic year salary support are less available. These faculty resources, of course, now become available for instructional service, which in theory should permit some offsetting savings in other instructional costs (short-term staffing). In practice, these savings have proved elusive. (See Figure II, page 10.)

Other factors deserve mention. Between 1972 and 1985, L & S enrollments rose by 68,825 student credits, or 24%, while the operating budget did not keep pace. The sudden 17% increase in graduate assistant stipends in 1986, in a year when the pay plan provided only 6% for unclassified staff, represented an effective budget reduction of $1 million which was never made up. The 60 new positions provided in the 1987-89 biennial budget were all used, but not really fully funded; they were budgeted at $25,000 each, whereas the average recruiting cost proved to be $36,000 -- an ongoing deficit of $660,000.

Meanwhile, an enrollment management policy was adopted by the University, whose full effects are only now being felt; beginning in 1990-91, undergraduate credits began to decline, while faculty numbers continued to expand, resulting in an improvement in the student faculty ratio, a commonly used indicator of quality in undergraduate education. Figure II describes this trend. An increase of 6.7% in faculty FTE was planned by the allocation of new faculty position from the State. The further increase was due to the other factors mentioned. The 1992-93 freshman class in our College (second semester figures) was 2,483, while the senior class number was 4,848 -- the last large senior cohort. Letters and Science total second semester enrollment decreased by 9.0% this year, while the faculty roster increased from 934 to 954 -- the highest figure in history. (See Table 2, page 11.)

Figure II. Improvements in faculty/student ratio

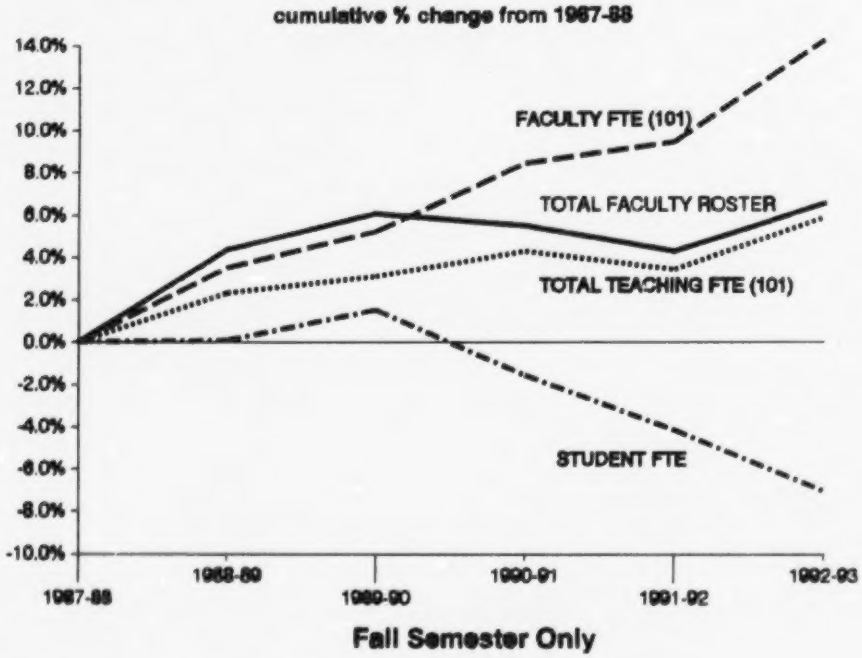

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Table II. L & S undergraduate enrollments

Changes in L & S enrollments

1991-92 to 1992-93

	Fall Semester			Spring Semester		
	1991-92	1992-93	% Change	1991-92	1992-93	% Change
Freshman	3,559	3,284	-7.7	2,894	2,483	-14.2
Seniors	4,642	4,453	-4.1	5,387	4,848	-10.0
Undergraduate Total	17,393	16,034	-7.8	16,210	14,758	-9.0

Office of the Registrar
Student Statistics

Thus a critical imperative which shapes our strategic plan is the inescapable necessity to align commitments with resources within our 101 budget. In this sphere, the overwhelming majority of our expenditures are for personnel: over 90% in the current year. Thus the adjustments must essentially come through reduction in personnel commitments. Our strategic plan proposes a method for achieving the necessary balance over a three to five year period. We need to emphasize the unprecedented nature of the adjustment required; not since the 1930s has this kind of personnel retrenchment been necessary.

A First Step Towards Strategic Planning

The strategic plan first germinated in the "Quality Reinvestment" exercise carried out by the College in 1991-92. At that juncture, an awareness of the need to contemplate "downsizing" first emerged, although the magnitude of adjustments which might be required was not yet fully appreciated. The QR process in the College was conducted in a more ambitious and visible fashion than in other schools and colleges at Madison, which went beyond its formal purposes of funding a round of "catch-up" pay, and an injection of supply and equipment money. Three committees of distinguished faculty and academic staff were constituted, representing Humanities, Natural Sciences, and Social Sciences, each charged with making recommendations on quality-driven reallocation which might take place, focussing upon salary adjustment and supply and equipment enhancement during that biennium. Each committee was also asked to identify where 15 faculty positions might be eliminated, on the assumption that this level of staff reduction might be needed to pay for the "catch-up" pay round allocated in 1992, and some additional supply funding.

The QR process generated a rich lode of basic data. Each department and program was invited to submit a comprehensive self-study, identifying strengths and weaknesses, and indicating needs and priorities. The three committee reports, although completed under deadline pressure and adopting somewhat divergent rationales, constituted a valuable analytical resource. However, in and of themselves, they could not be converted into long-range planning documents, for several reasons. First, the process was keyed to an immediate reallocation exercise, and was not consciously constructed as a long-term planning venture. Second, "quality", however important, was enthroned as the sole driving criterion, reflecting the tactical origin of the "QR" process as a System budgetary device in dialogue with the Legislature rather than defining a defensible overall vision. Third, no effort was made to relate the QR studies to broader concepts of College or institutional mission. Fourth, they were too hastily prepared to enjoy the authority and legitimacy required for a long-term plan; the committees had no opportunity to incorporate departmental feedback and response. Fifth, a number of faculty read the QR studies as emphasizing departmental programs at the expense of interdisciplinary, international, and ethnic studies which was at variance with College policy.

Elements of Successful Strategic Planning

There was thus a challenge to build upon the invaluable exploratory work of the QR committees, but to go beyond them to construct an integrated strategic plan for the College. Through this metamorphosis, we needed to create a basic document which provided us with the guidelines necessary to respond to the dilemmas which fiscal history thrust upon us. A series of basic premises concerning the nature of the plan shaped our procedure:

Credibility: The plan had to identify ways and means of restoring a resource balance, persuasive to the College itself, our constituent departments and programs, and to the various echelons of authority to whom we are accountable. The plan had to preserve important gains in undergraduate student access that have been achieved over the past ten years.

Scope: The plan had to result in savings of up to $5 million, which roughly translates into 100 faculty positions or the equivalent in other personnel categories.

Timing: Because we were not confronted with the immediate, savage state appropriation cutbacks which have devastated public higher education in states like Oregon, California, or Massachusetts, the adjustments could be made by attrition over an intermediate period of time; however, they had to begin at once.

Balance: The opportunity to correct the imbalance in our budget over a three- to five-year period allows us to avoid draconian measures and preserve maximum opportunities for students. The adjustments will need to be differential, but across a broad front. The plan will require deep cuts in many departmental activities, but stops short of eliminating any departments or programs at this time. Further deterioration in our budget may force us to revisit this issue.

Rationality: Choices had to be carefully weighed, thoroughly informed, and well reasoned; criteria needed to be widely acceptable, inclusive enough to reflect the comprehensive mission of the University, yet parsimonious enough to be operational.

Equity: The process of elaborating the strategic plan, and the basic thrust of its recommendations, had to win acknowledgement as fair and reasonable in order for the policies flowing from it to earn acceptance as legitimate.

Participation: There had to be meaningful faculty involvement in the elaboration of the plan.

Transparency: The plan would need to be distributed to departments in its entirety, available for inspection by one and all; the process as well needed to be open and well understood.

The Development of the Strategic Plan

With these axioms in mind, the elaboration of the strategic plan began at the start of the academic year. The documentary materials which served as point of departure -- the departmental self-studies, in which faculty had widely participated, and the faculty QR Committee reports -- were made generally available. Departments were offered the opportunity at the beginning of the year to respond to the QR

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Committee reports; the great majority did so. The primary vehicle for development of the plan was the Academic Planning Council, the primary consultative body for the College faculty. Five of the seven members are elected by the College faculty as a whole (the Dean serves ex officio, and one academic Associate Dean is designated as a member).

The first step was to define the vision which guided the plan, the overall goals which shaped its content, and the procedures to be followed in elaborating it. As a point of departure, we needed a mission statement for the College; here we could draw upon the excellent work carried out by the ad hoc "Future Directions" committee chaired by Fannie LeMoine in 1987-88, which prepared a comprehensive Campus mission statement in anticipation of the North Central Association accreditation review. The Future Directions Committee mission statement received extensive faculty discussion, culminating in its formal adoption by the Faculty Senate; it thus enjoyed authoritative status as a basic covenant. Because our College is so comprehensive in its scope, imaging much of the University, we could draw heavily upon Directions for the Future, the report of the Future Directions Committee, as the foundation of a College mission statement.

The Mission of the College of Letters and Science

Within the overall mission of the University of Wisconsin-Madison, the responsibility of the College of Letters and Science is to:

- Provide an intellectual community in which students and faculty can discover, examine critically, integrate, preserve, and transmit knowledge, wisdom, and values;
- Foster undergraduate, graduate, and professional education and research in the liberal arts, encompassing the humanities, the arts, the social sciences, the physical sciences and the biological sciences;
- Provide a supportive educational and employment environment for a community of students, faculty, and staff characterized by diversity;
- Serve the liberal arts curricular needs of the applied and professional schools and colleges of the University;
- Encourage interdisciplinary linkages throughout the University;
- Respond to the citizens of Wisconsin through focussed programs of outreach;
- Manage human and material resources in a manner both to sustain the College and to enhance public support of higher education.

The mission statement is intended to capture and embody a framing vision for the College, at once conveying its diversity yet bound to its core attachment to the liberal arts. The mission and attendant vision as well reflect broader campus commitments: a renewed engagement to excellence in undergraduate education, along with the dedication to graduate and professional education and research in the liberal arts. Other fundamental campus and College commitments, forcefully expressed in the Future Directions Committee report and embedded in College policy, must be upheld. We may note in particular the engagement to diversity, and to internationalization of the University. The creation of ethnic studies programs is still recent and their situation precarious; a pledge to provide minimal staffing to the newly-established American Indian Studies, Chicano Studies, and Asian-American Studies Programs must be honored. For the most part, international studies are securely established, but an unbreachable promise to rebuild a decimated Japanese studies group is on record.

The scope of the mission makes plain why the College could not respond to our challenge by withdrawing from large spheres of activity. Although there are some specialized areas of instruction or small research institutes whose future must be reconsidered, there are no substantial areas of endeavor which on mission or quality grounds can be abandoned. Thus selective reductions across a broad front are necessary. Once implementation of this plan restores fundamental fiscal balances, renewed consideration for program initiatives consistent with our mission will be possible.

By late fall 1992 our budgetary analysis made reasonably clear the dimensions of our challenge: between 75 and 100 faculty positions or their cost equivalent would need to be eliminated. The fundamental concept of the plan is to accomplish this goal by selective attrition. As a short-term measure, sharp reductions in recruiting levels had to be immediately instituted. Once the plan was developed, over time the reductions could be made consistent with the priorities identified in the document. For simplicity of calculation, and because the savings had to be achieved in personnel outlays, we chose to use "faculty positions" at a notional average cost of $50,000 as units of currency. Departments would receive a target reduction expressed in this currency; actual savings could be achieved in any personnel category (teaching assistants, short-term staffing, classified staff, academic support staff).

Cost reductions in personnel are central to the structure of this plan. They are, however, not its fundamental purpose, which is preservation of the quality of the College. "Downsizing" is not an end in itself, but is merely instrumental to a restoration of resource-commitment balance. Were there no financial distress, we would certainly wish to preserve our existing staffing levels.

Three major criteria were identified: quality, need, and efficiency. Quality was measured above all in national standing, and distinction brought to the University by the academic recognition and achievement of a given program. Need could be evaluated in numbers of students served, contribution to the central curriculum of the College, and centrality of the program to the mission of the College. Efficiency was understood as effectiveness in use of resources made available to the unit; a useful measure was the instructional personnel required currently to instruct a given number of students as compared with other similar departments and as compared with a decade ago, at a time when enrollment was roughly the same as it will be after the large 1993 senior class has graduated. All three of these broad criteria were in reality multi-dimensional, and were evaluated in terms of an array of indicators. No mechanical, formulaic equations could be applied; reasoned judgements were required, guided by the extensive data resources. Trend lines were particularly

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important; data covering the past decade, transformed into three-year averages, were carefully scrutinized.

Our initial analysis indicated that the adjustments required could be met over time by attrition, provided that immediate short-term steps were taken to limit recruiting in the 1992-94 period, so that some personnel shrinkage occurred during the period when we were preparing and phasing in the strategic plan. Thus for 1992-93 we set a target of about 25 new hires, with the expectation that turnover through retirement, resignation, non-renewal, or death would continue at historic levels of 50-60. To our dismay, there was a sharp drop in the number of departures in 1993, which compelled us to suspend recruiting for 1993-94 while the plan is put into operation. Analysis shows that the drop is due to two factors. Because many other states are facing financial difficulties more severe than ours, fewer of our outstanding faculty are receiving offers to go to other universities. Even though the number of faculty age 65 or more is growing there has been an actual decline in the number who have chosen to retire. Both of these factors probably are related to the overall state of the nation's economy.

Cluster Reviews

As a next step, the College units were divided into "clusters" of departments with similar or overlapping missions, disciplines, and/or make-up, listed below. Each of the clusters was examined in detail, with Academic Planning Council members studying the entire body of data available; one APC meeting was devoted to each cluster. Every department, school, or program within each cluster was individually reviewed, with its performance also examined comparative to like programs in its cluster. Finally, these sectoral recommendations were examined as a whole, and integrated into the overall document here presented.

The clusters were as follows:

FINE ARTS (Art History, Music, Theatre and Drama);

SMALL LANGUAGE AND LITERATURE (African Languages and Literature, East Asian Languages and Literature, Hebrew and Semitic Studies, Scandinavian Studies, Slavic Languages, South Asian Studies);

LARGE LANGUAGE AND LITERATURE (French and Italian, German, Spanish and Portuguese);

SMALL HUMANITIES (Afro-American Studies, Classics, Comparative Literature, History of Science, Linguistics; Folklore, Medieval Studies Program)

LARGE HUMANITIES (Communication Arts, English, History, Philosophy)

GENERAL SOCIAL SCIENCES (Anthropology, Economics, Geography, Political Science, Psychology, Sociology);

PROFESSIONAL SCHOOLS (La Follette Institute/Center for Public Policy and Administration, Journalism and Mass Communication, Library and Information Studies, Social Work, Center for Development, Urban and Regional Planning);

BIOLOGICAL SCIENCES (Botany, Communicative Disorders, Limnology, Zoology);

SMALL PHYSICAL SCIENCES (Astronomy, Geology and Geophysics, Atmospheric and Oceanic Sciences);

LARGE PHYSICAL SCIENCES (Chemistry, Computer Sciences, Mathematics, Center for the Mathematical Sciences, Physics, Statistics);

AREA AND INTERNATIONAL STUDIES (African, Central Asian, East Asian, South Asian, Latin American and Iberian, Middle East, Southeast Asian, European, Russian and East European; International Relations);

ETHNIC/GENDER STUDIES (American Indian Studies, Asian American Studies, Chicano Studies, Jewish Studies, Women's Studies);

INSTITUTES (Institute for Research in the Humanities, Industrial Relations Research Institute, Institute for Research on Poverty, Havens Center for the Study of Social Structure and Social Change, Max Kade Institute for German American Studies);

INTERDISCIPLINARY/UNDERGRADUATE (Biology Core Curriculum, Integrated Liberal Studies); and

OUTREACH/SERVICE (Learning and Support Services, Data and Computation Center, Chemistry Learning Center, Writing Lab, Mathematics Tutorial Program, Survey Center, Elvehjem Museum).

Each week, members of the APC reviewed the department/program self-studies, the QR committee reports, and any response materials provided by the departments. (Fifty-two of the departments/programs provided responses to the QR reports.) At each APC meeting, one or more of the associate deans guided discussion of a cluster, using materials that had been reviewed in draft the previous week at the Dean's weekly staff meeting and revised based on questions raised at that meeting. These materials included some numerical "indicators" that helped to describe department/program activity, and graphic presentation of some of these numbers as an aid to identifying trends. Among the indicators were faculty roster, faculty FTE on 101, total teaching FTE, numbers of graduate and undergraduate majors and degrees, federal direct expenditures, number of faculty with grants, and ratios of credits per teaching FTE. (Graphs of several of these indicators appear in the following pages.) In view of the volume of information available, no one report or number or graph was dominant; each week's discussion synthesized the information into a tentative savings target for each program or department.

Graphical Representations of Key Indicators. On the following pages, arranged by cluster, are graphs related to faculty size and student credits. Data are taken from the College Profile (Table III, page 25) and are averaged in three-year periods to dampen fluctuations.

The graphs in general show an increase of faculty on the 101 budget. The graphs showing total credits are related to a department's need or centrality, while the graphs showing the ratio of total credits to total teaching FTE (101), excluding TAs, are related to the efficiency with which a department deploys its staffing resources.

These graphs are representative of the data used to measure quality, need, and efficiency, but do not span the total information used to reach downsizing targets.

Table IV (Table IV, page 26) summarizes the final decisions for departmental downsizing targets. This table represents savings close to the lower 75 FTE target; a more drastic plan for savings close to the 100 FTE target is in the Appendix. The latter plan will be put in effect only if a review of the Strategic Plan that will take place during 1995-96 finds that it is necessary.

The APC had agreed that these targets would be revisited at the conclusion of all the cluster reviews, in order to ensure consistency in treatment of programs over a span of time. Once the cluster analysis was complete, we assembled the elements of the Plan and carefully reviewed the targets as a whole. This integrated set of targets (Table IV) was then given final examination and concurrence by the APC. The outcome section of the Strategic Plan, beginning on page 45, highlights, for each of the programs reviewed, the principal factors considered and the advice of the Academic Planning Council and the Associate Deans to the Dean. Regrettably, the College cannot reach the required savings level without widespread sharing in the sacrifices and shrinkage necessary to develop a balanced strategic plan. Despite the obvious strengths of most L & S programs and departments, very few areas have been exempted from the need to make reductions in staffing.

ABOUT AAHE

The American Association for Higher Education (AAHE) is a national organization of more than 8,500 individuals dedicated to the common cause of improving the quality of American higher education.

AAHE is higher education's "citizen's organization," where individuals can step beyond their special roles to address collectively the challenges higher education faces. AAHE's membership includes faculty, administrators, and students from all sectors, plus policymakers and leaders from foundations, government, media, and business.

AAHE members share two convictions: that higher education should play a more central role in national life, and that each of our institutions can and must be more effective. AAHE helps members translate these convictions into action. Through conferences, publications, and projects, members acquire both the "big picture" and the practical tools needed to increase their effectiveness in their own setting, and to improve the enterprise as a whole.

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AAHE's **Forum on Faculty Roles & Rewards** focuses on the reexamination of faculty priorities and institutional expectations for faculty in the context of a rapidly changing academic workplace. Special attention is given to rewarding different forms of scholarly excellence, especially undergraduate teaching and faculty engagement in meeting pressing societal needs. Recently, the Forum launched its New Pathways project, aimed at broadening and deepening the emerging debate about faculty careers and employment arrangements. The activities of the Forum include an annual national conference (1,000+ attendees), publications (including a 14-part New Pathways Working Papers Series), access to an information clearinghouse of campus practices, and regionally based initiatives advancing the faculty roles and rewards agenda.

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